

INTERNATIONAL BOUNDARY AND WATER COMMISSION
UNITED STATES AND MEXICO
UNITED STATES SECTION

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DATE: May 1990

TO: Each Division and Branch Office in the Headquarters; each Field Office; Office of the Secretary; Internal Auditor; Communications and Records Branch; EEM; Presidents - AFGE Locals 3060 and 3309

SUBJECT: Files Maintenance and Records Disposition Manual -- Records Disposal Schedules

CONTROL: Director, Administrative Services Division (915) 534-6674, FTS 570-6674

420.1. PURPOSE: This directive, together with Headquarters Directive 8-90, Volume IV, Section 400, Chapter 410, May 1990, subject: Files Maintenance and Records Disposition Manual-Basic Directive, establishes a system for the organization, maintenance, and disposal of records of the United States Section, International Boundary Commission (IBWC). The basic purpose of the IBWC Files Maintenance and Records Disposition Manual is to promote economy and efficiency in the organization, maintenance, use, and ultimate disposition of records.

420.2. AUTHORITY:

- a. The Federal Records Act of 1950, as amended.
- b. The Paperwork Reduction Act of 1980.
- c. Sections 3301-3314, Title 44, United States Code.
- d. General Records Schedules, June 1988.
- e. Records Control Schedule, Job No. NCI-76-77-1, December 19, 1978.
- f. Records Control Schedule, Job No. NI-76-88-2, May 2, 1988.
- g. Records Control Schedule, Job No. NI-76-90-1, April 30, 1990.

420.3. SUPERSESSON: This directive, together with Headquarters Directive 8-90, Volume IV, Section 400, Chapter 410, May 1990, supersedes Headquarters Directive Volume IV, Section 400, subject: Files Maintenance and Records Disposition Manual, August 1978, in its entirety. Please dispose of previous editions of this manual, including all changes thereto.

IBWC-14
11/1971

420.4. POLICY: This directive, together with Headquarters Directive 8-90, Volume IV, Section 400, Chapter 410, May 1990, are the only authorized directives for use in setting up, maintaining, and disposing of U.S. Section, IBWC, records.

420.5. EFFECTIVE DATE: This directive enters into force upon receipt.

FOR THE COMMISSIONER:

A handwritten signature in dark ink, appearing to read 'Reinaldo Martinez', is written over the printed name.

Reinaldo Martinez
Director, Administrative Services

RECORDS DISPOSAL SCHEDULES

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CHAPTER 1.
RECORDS COMMON TO MOST OFFICES

This chapter is a grouping of two types of file material: Nonrecord or extra copy files of convenience or reference material; and general correspondence (subject) files.

SECTION 1.
NONRECORD MATERIAL

This section defines the types of material which are considered nonrecord and provides standards for disposing of such material in all IBWC offices. Nonrecord materials have no documentary or evidential value usually because they are: (1) duplicate copies of an original maintained by a separate office of primary interest which serves as the official record; (2) printed or processed materials of which only the master copy is considered official; or (3) papers of a transitory nature which cease to have any documentary or evidential value after their contents are incorporated or adequately summarized in other documents, e.g., preliminary drafts, shorthand notes, work sheets, etc.

This type of material accumulates in offices as a convenience to personnel, but should be kept to a minimum. Nonrecord material is often found interfiled with official papers -- this is a poor files maintenance practice. Retention of nonrecord material is not required. Ideally, much of this material should be destroyed without filing. This reduces the volume of material in the files and makes files more serviceable. If, however, nonrecord material is filed, it must be kept separately from official records.

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The following standards cover nonrecord material normally created or accumulated as a result of responsibilities and activities common to all offices.

101-01	<u>Files Maintenance and Disposition Plans.</u> Documents such as IBWC Form 11 which reflect file categories, disposal instructions, and other information about the files accumulated as an individual file station.	Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes. (GRS 16(2a))
101-02	<u>Reading or Chronological Files.</u> Extra copies of correspondence prepared and maintained by the originating office, used solely as a reading or reference file for the convenience of personnel.	Destroy when 2 years old, or when no longer needed, whichever is sooner. (GRS 23(1))
101-03	<u>Suspense Files.</u> Paper arranged in chronological order as a reminder than an action is required on a given date; or a transitory paper being held for reference which may be destroyed on a given date. Examples of papers in suspense files are: a. A note or other reminder to submit a report or to take some other action. b. The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected. c. Papers which may be destroyed in 30 days or less as being without further value.	Destroy after action is taken. (GRS 23(6a)) Withdraw documents when a reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files. (GRS 23(6b)) Destroy on date under which suspended. (NCl-76-77-1)

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Policy and Precedent Reference Files. Copies of documents establishing policy or precedents pertinent to future and continuing actions. Normally, policy and precedent files are maintained at operating levels and consist of extra copies of operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in official files. Original or official record copies will NOT be placed in this file. This file consists of nonrecord copies maintained only for convenience of reference.

Destroy when superseded or obsolete. (GRS 16(1a))

101-05

Transitory Files. Papers of short term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below:

Destroy when 3 months old, or when no longer needed, whichever is sooner. (GRS 23(7a,b,c))

- a. Requests for Information or Publications. Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply, such as requests for publications or other printed material.
- b. Letters of Transmittal. Letters of transmittal that do not add any information to that contained in the transmitted material.
- c. Quasi-Official Notices. Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar papers.

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Recordkeepers shall combine types of temporary material shown above into one transitory file arranged chronologically. If the volume warrants using more than one folder, four folders labeled as follows may be used:

Transitory (Jan - May - Sep)
Transitory (Feb - Jun - Oct)
Transitory (Mar - Jul - Nov)
Transitory (Apr - Aug - Dec)

A folder is used for each month. At the beginning of each month, the folder used the previous month is placed behind the other three, until all four folders have been used. At the beginning of the fifth month, the contents of the folder containing the oldest material are destroyed and the folder reused for the current month.

101-06	<u>Routine Control Files.</u> Papers used to facilitate or control work in progress, such as job control records, status cards, routing slips, work processing sheets, and records which control work flow and record action taken or serve as receipts for records chargeout.	Destroy when no longer needed. (GRS 23(8))
101-07	<u>Agency Directives and Publications-Reference Copies.</u> Extra copies of regulations, directives, and publications and Department of State manual releases, bulletins, circulars, pamphlets, and public relations material.	Destroy when superseded or obsolete. (GRS 16(1))
101-08	<u>Publications of Other Government Agencies.</u> Copies of Congressional documents, OMB Circulars, Code of Federal Regulations, Federal Register, GSA publications, etc.	Destroy when superseded or obsolete, or in the case of bound volumes, when not needed for library purposes. (NCL-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
101-09	<u>Non-Government Publications.</u> Publications of commercial firms, private institutions, and vendors, including catalogs, brochures, price lists, and similar publications.	Destroy when superseded or obsolete. (NCl-76-77-1)
101-10	<u>Library Materials.</u> Excess copies of books, pamphlets, journals, and similar materials.	Destroy when superseded or obsolete, or no longer needed for reference. Refer items of potential value to librarian for disposition. (NCl-76-77-1)
101-11	<u>Technical Reference Material.</u> Copies of reports, studies, special compilation data, drawings, periodicals, clippings, etc., which are needed for reference and information purposes but are not made a part of official files. Prepared internally and externally.	Review at least annually. Destroy material of no further reference value. (NCl-76-77-1)

SECTION 2.

GENERAL CORRESPONDENCE (SUBJECT) FILES

The records described below consist of originals or copies of correspondence, reports, forms, and other materials of a general nature on a wide variety of subjects. These materials are arranged according to the Subject Files Outlines.

- 102-01 "Mission" Correspondence Files. Mission correspondence files document the functions and responsibilities for which an office is primarily responsible.

a. IBWC Headquarters.

1. Mission files created and maintained in offices whose primary function directly relates to responsibility for treaty-directed activities along the international boundary between the United States and Mexico.

Permanent. Cut off at close of the calendar year. Transfer to FRC 10 years after cutoff. Offer to National Archives 30 years after activity has been completed. (NCl-76-77-1)

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2. Mission files created and maintained in offices whose primary function involves administrative support activities such as personnel, procurement, property, transportation, travel, communications, and similar internal administrative management functions.

Cut off at close of calendar year. Transfer to FRC 5 years after cutoff. Destroy 10 years after cutoff. (NCl-76-77-1)

b. Field Offices.

Cut off at close of calendar year. Destroy 7 years after cutoff. (NCl-76-77-1)

102-02

"Non-Mission" Correspondence Files.
Non-mission correspondence files include correspondence, reports, forms, and other papers which are accumulated in an office but do not directly relate to the function or mission for which the office exists. They generally include: (1) Copies of papers relating to subjects for which another office is responsible for documentation, and (2) papers relating to routine internal management or general administration (i.e., "housekeeping" functions) of the office.

Cut off at close of the calendar year. Destroy 7 years after cutoff. (NCl-76-77-1)

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CHAPTER 2.
PLANNING AND MANAGEMENT RECORDS

The records described in this chapter relate to the general management, planning, organization, and direction of IBWC operations. They are created in the course of developing plans, policies, and programs; management surveys; management improvement functions; and paperwork management activities.

SECTION 1.
PROGRAM PLANNING AND MANAGEMENT

201-01

Management Objective Files. Documents that accumulate from the process of establishing and reporting on short-, mid-, and long-range management objectives for IBWC. Includes, but is not limited to directorial, divisional, and local monitored objectives. Papers reflect the establishment of schedules to accomplish objectives, reports on progress, major problems, and accomplishments in meeting the management objectives established by the plans, fact sheets, and related documents and correspondence.

a. Commissioner's Office

Permanent. Cut off at close of the calendar year in which plan is superseded. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCL-76-77-1)

b. Contributing, commenting, or coordinating offices.

Cutoff at close of the calendar year in which plan is superseded. Destroy 5 years after cutoff. (NCL-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
201-02	<p><u>Management Survey Case Files.</u> Consist of staff studies or management improvement projects regarding analyses of administrative policies and procedures, manpower surveys, organization and methods studies paperwork studies, work simplification and standardization studies, workload and work distribution analyses, and similar studies. Includes papers authorizing the project and describing its scope, purpose, and objectives; intermediate progress reports and correspondence; final survey report and documentation of actions taken as a direct result of the survey.</p>	<p>Cut off at close of calendar year in which action is completed on survey. Hold 5 years and retire to FRC. Destroy 20 years after cutoff. (NC1-76-77-1)</p>
	<p>a. Office conducting the survey or office sponsoring a contract to perform survey services.</p>	
	<p>b. Office surveyed.</p>	<p>Destroy on completion of next comparable survey or when no longer needed for reference. (NC1-76-77-1)</p>
201-03	<p><u>Management Survey Background Files.</u> Papers accumulated in the collection of data for or during a management survey or staff study. Includes notes, statistical data, feeder reports, working papers, copies of directives and local operating procedures, charts, personnel data and similar material collected for fact-finding or back-up purposes.</p>	<p>Cut off at close of calendar year in which survey is completed. Destroy when no longer needed for reference or 5 years after cutoff, whichever is earlier. (NC1-76-77-1)</p>

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201-04

Progress Report Files. Consists of monthly summary progress reports to the Commissioner. This report is a summary of reports from division level offices, such as the Hydrographics and Water Accounting Office, Investigations and Planning, and the Projects Division. Format entails the following items from each office: Important progress items, pending important problem areas and actions taken, a summary reports section, a detailed reports section, and a photographic reports section.

a. Original.

Permanent. Cut off at close of the calendar year. Transfer to FRC 10 years after cutoff. Offer National Archives 25 years after cutoff. (NC1-76-71)

b. File copy in submitting office.

Cut off at close of the calendar year. Destroy 10 years after cutoff. (NC 76-77-1)

201-05

Progress Statement Files. Consists of monthly progress statements signed by the Commissioner. Includes agreements with Mexico and principal projects. Distributed to all headquarters and field office supervisors, ARA/MEX and USEMBMEX and OMB. Includes data such as status of projects, operations and maintenance, boundary mapping, and personnel statistics.

a. Original.

Permanent. Cut off at close of the calendar year. Transfer to the FRC 10 years after cutoff. Transfer to the National Archives 25 years after cutoff. (N1-76-90-1)

b. Offices receiving copies.

Cut off at close of the calendar year. Destroy 10 years after cutoff. (N1-76-90-1)

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201-06

Commissioner's Annual Summary Progress Report Files. Consists of original of a multi-page annual report highlighting activities and accomplishments for the past calendar year and anticipated activities for the coming year. Achievements are listed for each activity or function -- international agreements, construction, operation, investigations, plans, and reports, budget, personnel, and other significant advances.

Permanent. Cut off at close of the calendar year. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 25 years after cutoff. (NCL-76-77-1)

SECTION 2.
PAPERWORK MANAGEMENT

202-01

IBWC Internal Directives Record Set. Consists of the official file copy of each formal policy and procedure issuance published by IBWC. Includes supporting case file, if any, containing documents relating to the preparation, review, clearance, publication, and distribution of each internal directive.

Permanent. Cut off cancelled or superseded directives at close of the calendar year. Offer to the National Archives 10 years after cutoff. Destroy the supporting case file when the official file copy of the directive is offered to the National Archives. (NCL-76-77-1)

202-02

IBWC Forms Numerical Files. Consists of the master copy of each locally developed form and revision and supporting data showing the inception and scope of the form, the program or administrative purposes served by the form, clearances and approvals, and the related procedures instituted, revised, superseded, or cancelled. Arranged numerically by form number.

Destroy 5 years after related form is discontinued, superseded, or cancelled. (GRS 16(3a))

202-03

Forms Functional File. A Collection of IBWC forms used to assist in forms management activities such as determining whether new forms should be developed and approved and whether existing forms should be consolidated or replaced by other forms. Arranged by functional classification.

Destroy when related form is discontinued, superseded, or cancelled. (GRS 16(3b))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
202-04	<u>Forms Register.</u> A register used to record and control the assignment of numbers to local forms.	Destroy when related form is discontinued, superseded, or cancelled. (GRS 16(3b))
202-05	<u>Reports Control Case File.</u> Case files maintained for each locally required report created, cancelled, or superseded. Included are documents which reflect actions taken in approving and controlling specific reports, copies of pertinent forms and directives, and related correspondence, evaluations, and similar type papers. Filed by title or reports control symbol.	Destroy 2 years after the report is discontinued. (GRS 16(6))
202-06	<u>Files Maintenance and Disposition Plans.</u> Documents which reflect file categories, disposal instructions, and other information about the files accumulated in individual file stations. This series is maintained by the IBWC Records Liaison Officer.	Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes. (GRS 16(2a))
202-07	<u>Records Disposition Files.</u> Descriptive inventories, disposal authorizations, schedules and reports. <ul style="list-style-type: none"> a. Basic documentation of records description and disposition programs, including Standard Form 115, Request for Records Disposition Authority; Standard Form 135, Records Transmittal and Receipt; SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States; and related documentation. b. Routine correspondence and memoranda 	<p>Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes. (GRS 16(2a))</p> <p>Destroy when no longer needed for reference. (GRS 16(2a))</p>

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
CHAPTER 3. FINANCIAL MANAGEMENT		
SECTION 1. ACCOUNTING		
301-01	<u>General Ledger Files.</u> One set of accounts, maintained by account, summarizing the financial transactions of the IBWC. Reflects the current status of funds available, amounts due and collected, assets, and liabilities.	Destroy 6 years and 1 month after the close of the fiscal year involved (GRS 7(2))
301-02	<u>Sub-Ledger Files.</u> Records used as posting and control media, subsidiary to the general ledgers, maintained by account.	Destroy when 3 years old. (GRS 7(4a))
301-03	<u>Journal Voucher Files.</u> Contain GAO Stock Form 1017G showing registers of transactions with entries detailing costs and revenues. Used as documents of original entry. Filed by month.	Destroy 6 years and 1 month after period covered by account. (GRS 6(1a))
301-04	<u>Statement of Transactions Files.</u> Contain record copies of Statement of Transactions, Standard Form 224, containing appropriation, receipt, and disbursement data; Voucher and Schedule of Withdrawals and Credits, Standard Form 1081; and copy of Voucher and Schedule of Payments, Standard Form 1166, showing Treasury check numbers. Filed by month. GAO site audit records.	Destroy 6 years and 1 month after period covered by account. (GRS 6(1a))
301-05	<u>Paid Voucher Files.</u> These documents are also known as "Bureau Schedules" and include the record copies of the Schedule of Payments, Standard Form 1166; invoices; substantiating orders; and other backup or supportive papers. GAO site audit records.	Destroy 6 years and 1 month after period covered by account. (GRS 6(1a))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
301-06	<u>Bill for Collection Files.</u> Consist of GAO Stock Form 1114. Shows certificate of deposit number and date paid. Used when IBWC bills firms or organizations. GAO site audit records.	Destroy 6 years and months after period covered by account. (GRS 6(1a))
301-07	<u>Cost Report Files.</u> Cost reports prepared quarterly containing consolidated balance sheets, income statements and accounts, statements of income and expenses, backup data for each account, computer generated financial statement. These documents are related to all other accounting documents. GAO site audit records.	Destroy 6 years and months after period covered by account. (GRS 6(1a))
301-08	<u>Schedule of Collections Files.</u> Consist of Certificates of Deposit, Standard Form 219, backup form for receipt of monies, and other supportive papers arranged chronologically. GAO site audit records.	Destroy 6 years and months after period covered by account. (GRS 6(1a))
301-09	<u>Schedule of Cancelled Check Files.</u> Consist of Standard Form 1098 issued to cancel checks lost in the mails, improper payee, etc., arranged chronologically. GAO site audit records.	Destroy 6 years and months after period covered by account. (GRS 6(1a))
301-10	<u>Imprest Fund Files.</u> Documents reflecting receipt of, and accounting for, petty cash or imprest funds used in connection with small purchases or travel. Included are receipts for funds, copies of reimbursement vouchers, invoices, similar documents, and related papers. GAO site audit records.	Destroy 6 years and months after period covered by account. (GRS 6(1a))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
301-11	<u>Apportionment and Reapportionment Schedule Files.</u> Consist of Standard Form 132 received from the Department of State apportioning funds to IBWC.	Destroy 2 years after the close of the fiscal year. (GRS 5(4))
301-12	<u>Budget Execution Files.</u> Periodic reports containing Standard Form 133, Report on Budget Execution, showing net disbursements, appropriations, allotments, obligations, and expenditures. Also contain work papers and tabulations.	
	a. <u>End of Fiscal Year Report.</u>	Destroy when 5 years old. (GRS 5(3a))
	b. <u>All Other Reports.</u>	Destroy 3 years after the end of the fiscal year. (GRS 5(3b))
301-13	<u>Budget Status Files.</u> Include Standard Form 133, Report on Budget Status, showing transfers of funds to other agencies, which will show the amounts in their report to the Treasury.	Destroy when 5 years old. (GRS 5(3a))
301-14	<u>Allotment Files.</u> Consist of Allotment Advices, IBWC Form 5-11, used to allot specific funds to individual projects. Maintained in chronological order.	Destroy 6 years and 3 months after the close of the fiscal year involved. (GRS 7(3))
301-15	<u>Statement of Allotment Report Files.</u> Monthly summary showing by allotment the total allotment, obligations to date, and unobligated balance. Prepared in fiscal office and sent to operating offices for reference or information purposes.	Destroy when 2 years old. (GRS 7(1))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
301-16	<u>Statement of Financial Condition Files.</u> Final report of obligations by appropriation showing the annual accounting to Treasury of current and prior year funds. Unobligated monies are returned to Treasury on this form. Consists of Standard Form 220, Statement of Financial Condition.	Destroy 6 years and months after period covered by account. (GRS 6(1a))
301-17	<u>Tax Exemption Certificate Files.</u> Consist of Standard Form 1094 showing IBWC nonliability for paying tax.	Destroy 3 years after period covered by related account. (GRS 3(12))
301-18	<u>Tax Withholding Report Files.</u> Shows payments to states and the Federal Government for taxes withheld from employee pay checks. Include state forms; Schedule of Payments; Quarterly Federal Excise Tax Return, Treasury Form 720; Employee's Quarterly Federal Tax Return, Treasury Form 941; computer backup computations. Indicates employee name and taxable wages. Chronological arrangement.	Destroy 4 years after form is superseded or obsolete. (GRS 2(18c))
301-19	<u>Requisition Card Files.</u> Consist of IBWC Form DS-537 (5 x 8 card) used to draw items from the warehouse. Shows project name and amount charged. This amount is posted to a recap sheet used to enter accounting data into the system. This data ends up in the Cost Report. Filed by Month.	Destroy when 3 years old. (GRS 8(3))
301-20	<u>Entry on Plant Property and Equipment Record Log.</u> IBWC form used to show posting entries on property and equipment records for items costing over \$100. Shows date, purchase order number, schedule number, account number, description, and amount.	Destroy 2 years from date of list. (GRS 3(9a))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION OF RECORDS
301-21	<u>Vendor Payment Control Card Files.</u> Cards (5 x 8) maintained by vendor name; contains a posting showing payment data, amount, and schedule number. This is a necessary index since paid voucher files are maintained in schedule number sequence.	Destroy 6 years and months after period covered by account. (GRS 6(1a))
301-22	<u>Accounting Card Files.</u> Machine cards used to enter and distribute costs, expenses, amounts, and other details into the accounting system.	Destroy when 6 months old (GRS 8(7b(1)))
301-23	<u>Contract Payment Administrative Files.</u> Copies of records in official contract and paid voucher files consisting of schedule of payments, bonds, insurance documents, contract, invoices, pay estimates, and other related papers.	Destroy when 3 years old (GRS 6(5b))
301-24	<u>Grazing Lease Administrative Case Files.</u> Consist of papers related to administration of grazing leases, including copies of notifications to the project chief of collections on leases in his locality, problems, or related issues. Official lease and receipt documents located elsewhere. Arranged by name of lessee.	Destroy when 1 year old. (GRS 6(1b))
301-25	<u>Voucher and Schedule of Payments Reference Files.</u> Consists of posting copies of Standard Forms 1166 used as a convenience or reference copy.	Destroy when 1 year old. (GRS 6(1b))
301-26	<u>Warehouse Issue Report Files.</u> Consists of copies of IBWC Form 478, which is a source document set up in a columnar format for keypunching. Shows accounting data and is used to charge issued items to projects.	Destroy when 3 years old. (GRS 8(6a,b))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
301-27	<u>Cost Account Worksheet Files.</u> Consists of IBWC Form 37, used strictly as a worksheet to prepare the Warehouse Issue Report. Records each requisition amount by cost account number and totals monthly.	Destroy when 3 years old (GRS 8(7a))
301-28	<u>Shop Labor Report Files.</u> Consists of copies of IBWC Form 478 used to charge shop labor to projects. Shows cost accounting data, other reference detail, overhead, and total amount.	Destroy when 3 years old (GRS 8(6a,b))
301-29	<u>Shop Order Files.</u> Consists of IBWC Form 353, a work order identifying the account number, project, and shop. Describes the work to be done, recording of labor and materials costs. Files are summarized monthly by project and are used to prepare the Shop Labor Report.	Destroy when 3 years old (GRS 8(7a))

SECTION 2.
BUDGET

302-01	<u>Budget Estimate Files.</u> Includes file copies of budget estimates prepared in the IBWC Budget Office, comprising appropriation language sheets, narrative statements, and related schedules and data. Filed by budget year and used for submission of the Commission's request for funds.	<u>Permanent.</u> Cut off at close of the fiscal year. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCL-76-77-1)
302-02	<u>Budget Work Paper files.</u> Consist of work papers, cost statements, and rough data accumulated in preparation of annual budget estimates including duplicates of papers in the Budget Estimate Files and other related data.	Destroy 1 years after the close of the fiscal year covered by the budget. (GRS 5(2))

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302-03

Request for Apportionment Files. Consists of Budget Office file copy of Department of State Form DS-865, Financial Plan for Fiscal Year 19__. Identifies data submitted, amendment number (if any), operating bureau or office, and source of funds. Shows the allotment activity and purpose, title and number by quarters, and the total plan for the fiscal year. This document is submitted to the Department of State for allotments of funds. Filed chronologically by fiscal year.

Destroy 2 years after the close of the fiscal year (GRS 5(4))

302-04

Briefing Book Files. These documents contain reference material prepared by the IBWC Budget Office for use of top staff in defending or supporting the budget request. Included are narrative descriptions of various projects, proposed activities, results and benefits derived, and any other information which the IBWC anticipates will aid in justifying its request. These files contain no original documentation and are valuable reference items only.

Destroy 1 year after the close of the fiscal year covered by the budget. (GRS 5(2))

SECTION 3.
PAYROLL

303-01

Payroll Files. Contain time and attendance reports; copies of Voucher and Schedule of Payments, Standard Form 1166; Payroll Change Slips, Standard Form 1126; details of cost distribution; savings bonds and other cost data printout; and printout showing employee name, cost account time charged against, leave information, deductions, etc. Also shows allotments to banks and credit unions and letters to the Treasury summarizing allotments to banks and credit unions. Arranged by payroll number.

Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS ~~2(3a)(1))~~.

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303-02

Master Payroll Data File. Contains biweekly payroll data, cumulative earnings to date, on a calendar year basis. This information is used to prepare W-2 information for employees. Information for this file is found in three places: Computer printout, operating disk, and backup disk.

Cut off at end of the calendar year when W-2's are printed. One copy of year end data is forwarded to NPRC, St. Louis, MO, and is destroyed 56 years after cutoff. (NCL-76-77-1)

303-03

Individual Pay Card Files. These card files consist of Standard Form 1126 and are arranged alphabetically by employee name.

a. If in the official personnel folder or in individual pay folder filed adjacent to the official personnel folder.

Dispose of with the official personnel folder. (See GRS 1(1))

b. If not in or filed adjacent to the official personnel folder.

Cut off at close of calendar year. Transfer to the NPRC, St. Louis, MO, 56 years after cutoff. Destroy 56 years after cutoff. (NCL-76-77-1)

SECTION 4.

INTERNAL AUDITING SERVICES

304-01

Investigative Case Files. Includes documents resulting from audits conducted by other than the U.S. Section's Internal Auditor. Audits such as the GAO, State Department, etc. are included in these files.

Place in inactive file when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff. (GRS 22(1b))

304-02

Internal Audit Case Files. Includes audit plans, schedules, registers, reports, correspondence, memoranda, and supporting work papers. Audits consist of either regularly scheduled Internal Audits (IA) or Special Projects (SP) or unprogrammed audits. These files are kept on a fiscal year basis. Audit register shows the scheduled audits and special reviews made throughout the year, comments, and completion dates.

Cut off at end of fiscal year in which case is closed. Destroy 8 years after cutoff. (GRS 22(2))

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DISPOSITION INSTRUCTIONS

CHAPTER 4.
ADMINISTRATIVE SUPPORT RECORDS

SECTION 1.
PRINTING, REPRODUCTION, AND
DISTRIBUTION FILES

401-01	<u>Publications Master Files.</u> Official file copies of each booklet, pamphlet, poster, monograph, technical report, monthly and annual report, employee newsletter, or other issuance published by IBWC. Includes publications for internal agency issuance and use and publications for promotional or external use. The word "publications" means reproduction by printing, photographic, or other methods in multiple copies, whether for limited or general distribution. Official file copy is maintained by the office responsible for preparation and issuance or the office requiring contractor preparation. Publications in this file will be distinctly marked "Record Set" and will not be charged out. One copy of selected publications will also be sent to the IBWC Library.	Permanent. Cut off when publication is superseded, cancelled, or 3 years after issuance, whichever is sooner. Transfer to the FRC 2 years after cutoff. Offer to the National Archives 10 years after cutoff. (NCL-76-77-1)
401-02	<u>Printing and Reproduction Requisition Files.</u> Includes printing procurement unit copies of requisitions, specifications, delivery receipt, and related papers. Arranged by requisition number.	Destroy 3 years after completion or cancellation of requisition. (GR 3(6a))
401-03	<u>Office Copying Equipment Production and Cost Files.</u> Consists of retained copies of production records or reports and cost records (including rental, repair, maintenance, and supply costs) submitted to higher administrative levels.	Destroy when 2 years old (GRS 13(1))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
401-04	<u>Library Catalog Cards and Shelf Lists.</u> Cards, lists, and similar documents showing author, titles, cross-references, subject, and location of items on shelves.	Destroy when superseded or obsolete. (GRS 14(6))
<div data-bbox="492 359 990 443"> <p>SECTION 2. BUILDINGS, GROUNDS, AND SPACE MANAGEMENT FILES</p> </div>		
402-01	<u>Visitor Control Files.</u> Registers or logs used to record names and firms represented for visitors to IBWC Headquarters. Typical entries include contractors, vendor representatives, employees of other Federal agencies, and service personnel.	Destroy 5 years after date of document, as appropriate. (GRS 18(17a))
402-02	<u>Identification Credential Files.</u> Includes building and grounds passes, employee identification cards, applications, listings, and similar records.	Destroy credentials 3 months after return to issuing office. (GRS 11(4a))
402-03	<u>Space Assignment and Maintenance Record Files.</u> Consist of GSA Form 65, Space Assignment Records; copy of SF 145, Order for Telephone Service; GSA Form 2956, Reimbursable Work Authorization; and related papers. Maintained in the procurement office by lease number and used for control of space assignment and maintenance.	Destroy 2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete. (GRS 11(2))
<div data-bbox="542 1161 886 1213"> <p>SECTION 3. COMMUNICATIONS FILES</p> </div>		
403-01	<u>Telephone Directory Files.</u> Correspondence, forms, and other records relating to the compilation of telephone listings and directories. Includes copy of each directory. Arranged chronologically by date of issuance.	Destroy 2 months after issuance of listing. (GRS 11(3))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
403-02	<u>Postal Receipt Files.</u> Consist of U.S. Postal Service forms and supporting papers such as receipts for registered and certified mail, insured mail, special delivery receipts and forms, reports of loss, and similar types of documents. Arranged chronologically.	Destroy when 1 year old (GRS 12(5a))
403-03	<u>Mailing List Files.</u> Consists of a copy of each mailing list and correspondence, request forms, and other records relating to changes in mailing lists.	Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner. (GRS 13(4a))

SECTION 4.
FREIGHT RECORDS

404-01	<u>U.S. Government Bill of Lading Files.</u> Includes memorandum copies of SF 1103, U.S. Government Bill of Lading; copies of shipper's receipt and/or invoice; and other related correspondence or documents such as GSA Form 1396, Reply to Inquiry Concerning Order/Shipment/Return/Billing. Maintained by geographical location and by bill of lading number.	Cut off at end of fiscal year. Destroy when 3 years old. (GRS 9(1a(1)))
404-02	<u>Damaged/Shortage Report Files.</u> Consists of a copy of loss or damage claim; Government Bill of Lading; GSA Form 547A, Shipping Document; Over, Short, and/or Damage Report; SF 361, Discrepancy in Shipment Report; GSA Form 1965, Over, Short, and Damaged Questionnaire; copy of SF 147, Orders for Supplies or Services. Maintained by claim number.	Destroy when 3 years old (GRS 9(2))
404-03	<u>Pre-Paid Freight Bill Files.</u> Consists of copy of freight bills sent prepaid. Shows the receipt by the carrier.	Cut off at end of fiscal year. Destroy when 3 years old. (GRS 9(1a(1)))

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DISPOSITION INSTRUCTIONS

SECTION 5.
FOIA AND PRIVACY ACT REQUESTS

405-01

Freedom of Information Act Request Files. Documents accumulated in preparing replies to inquiries specifically identified as FOIA requests. Includes the request, estimates of search costs and reproduction fees, documents reflecting coordination of the response, and related papers and correspondence.

See GRS 14, Items 11-15 for disposition of FOIA records not described herein.

- a. Approved requests and denied requests which do not result in appeals or litigation.

Approved requests. Destroy 2 years after reply. (GRS 14(11a(1)))

Denied requests. Destroy 1 years after date of reply (GRS 14(11a(3)(a)))

- b. Denied requests resulting in appeals or litigation.

Destroy 6 years after final determination by agency or 3 years after final adjudication by courts, or 6 years after the time at which a requester could file suit, whichever is later. (GRS 14(12))

405-02

Privacy Act Request Files. Files created in response to requests of individuals to gain access to their records or to any information in the records pertaining to them as provided under the Privacy Act. Files include the request, copies of reply and all related documents.

See GRS 14, Items 21-26 for disposition of PA records not described herein.

- a. Granting access to all requested records.

Destroy 2 years after date of reply. (GRS 14(21a(1)))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
	b. Denying access to all or part of records requested.	
	(1) Requests not appealed.	Destroy 5 years after date of reply. (GRS 14(21a 3)(a))
	(2) Requests appealed.	Dispose of in accordance with GRS 14, Item 21.
	SECTION 6. TRAVEL AND TRANSPORTATION	
406-01	<u>Carrier Transportation Files.</u> Copies of documents reflecting carrier charges, consisting of memorandum copies of Vouchers (SF 1171A), duplicate copies of Transportation Requests (SF 1169, and related supporting documents.	Destroy when 3 years old (GRS 9(1b))
406-02	<u>Employee Travel Files.</u> Documents concerning official travel of individual employees. Includes copies of employee requests for travel, authorizations, travel vouchers, advance of funds requests, and similar or related papers. Maintained by the unit responsible for providing travel services, and arranged by employee name.	Destroy when 3 years old (GRS 9(3a)).
406-03	<u>Travel Authorization Control Files.</u> Registers, logs, or similar control documents used to record the assignment of document numbers to employee travel authorizations.	Destroy when 3 years old (GRS 9(1b))
406-04	<u>Transportation Request Control Files.</u> Registers or logs documenting the issue or receipt of Government Transportation Requests.	Cut off pages with all entries cleared at close of fiscal year. Destroy year after cutoff. (NC1 76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
406-05	<u>Mileage Record Files.</u> Maintained for each Government vehicle showing oil and gas supplied and mileage. Identified vehicle license number and date. Used for mileage report to GSA.	Destroy when 2 years old. (GRS 10(1))
406-06	<u>Motor Vehicle Assignment Receipt Files.</u> Consists of GSA Form 1152 identifying the agency, type of vehicle, license number, motor pool, rental rate, assignee's signature, termination data, and mileage. Vehicles assigned to IBWC.	Destroy 4 years vehicle leaves the agency custody. (GRS 10(6))

CHAPTER 5.
PROCUREMENT AND PROPERTY MANAGEMENT

SECTION 1.
PROCUREMENT

501-01 Procurement Case Files. In addition to special types of contracts described below, the term procurement case files is a generic term encompassing requisitions, purchase orders, memorandums of agreement, and any other types of contracts. Each case file contains documents, correspondence, and related papers pertaining to award, administration, receipt, inspection, and payment (excluding those related to real property).

- Construction contracts for International Boundary Projects. Arranged by IBM (International Boundary with Mexico) contract number. Documents in each file are arranged in the following sections:

- Contract Section. Invitation to Bid with Modifications and Amendments; Bidding Schedule; SF 19-A, Labor Standards Provisions; SF 23-A, General Provisions (Construction Contract); SF 19-B, Representations and Certifications; SF 23, Construction Contract; SF 1036, Statement and Certificate of Award; Notice to Proceed; and other related papers.

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- Bid Section. Contains amendments to IFB acknowledgements signed by contractor; Power of Attorney for surety company; SF 24, Bid, Bond; SF 19-B, Representations and Certifications; Statement of Equipment listing equipment available and that which will be committed to the job; Bidding Schedule with amounts attached to SF 21, Bid Form; and other related papers.
- Bond Section. Contains Powers of Attorney for surety; SF 25, Performance Bond; SF 25A, Payment Bond; Resumption Orders to resume work after bad weather; Change Orders including specifications with signatures of acceptance.
- Payment Section. Contains Payment Estimates submitted by the contractor; copies of SF 1166, Voucher and Schedules of Payments; and related papers.
- Payroll Section. Contains certified copies of contractor payrolls; Department of Labor Form WH-348, Statement of Compliance; a listing of occupations showing codes and hourly rates; payroll numbers showing pay period ending date and date received. (See Contractor Payroll Files for disposition.)

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- Correspondence Section.
Contains copies of liability insurance certificates; correspondence from and to the contractor explaining days lost due to bad weather and extending completion dates; correspondence about such things as procedures, equipment, and understandings concerning the work. Correspondence to the contractor is signed by the Construction Manager or the Principal Engineer.

- Contracts for Engineering and/or Consulting Services. Typical contracts of this type are for such items as professional engineering services, consultant services, equipment maintenance, aerial mapping, appraisal service, geodetic surveys, right-of-way surveys, photographic services, and professional and technical advice. Included in the file are such items as SF 25, Performance Bond; Power of Attorney for surety company; Special Provisions; SF 35-A, Solicitation Instructions and Conditions; SF 33, Solicitation, Offer and Award; SF 36, Continuation Sheet; SF 1036, Statement and Certificate of Award; copies of letters sent to firms responding to the Request for Proposal; copies of SF 1166, Voucher and Schedule of Payments; copies of contract status inquiries; related papers.

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DISPOSITION INSTRUCTIONS

- Memorandum of Understanding or Agreement. This type of contract is used between IBWC and other agencies, organizations, or individuals to outline rights of the parties for use, maintenance, pro rata share of costs for projects or works constructed along the boundary. Documents in the file consist of such as the Narrative Agreement and SF 1036, Statement of Certificate and Award. It may also contain plans; payment estimates; copies of SF 1166, Voucher and Schedule of Payments; a listing of payment amounts and dates; and other related papers. Contracts are signed for purposes such as providing for the sale of the U.S.'s portion of power produced at an international dam; use of land for construction, operation, and maintenance of a border inspection station or a gaging station; for relocation of levees; or for the modification of irrigation facilities. Although agreements may be signed with individuals, they are usually signed with other Federal agencies or units of government such as the National Park Service, Corps of Engineers, General Services Administration, Hidalgo County Water Control and Improvement District, City of Nogales, Texas Highway Department, Donna County Irrigation District.

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DISPOSITION INSTRUCTIONS

a. Procurement Office Copy.

(1) Transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents with respect to IBWC procurement or to major procurement programs.

Permanent. Cut off at end of the fiscal year when terminated. Transfer to FRC 2 years after cutoff. Offer to National Archives 30 years after cutoff (NCL-76-77-1)

(2) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

Destroy 6 years and months after final payment (GRS 3(3a(1)))

(3) Transactions of \$25,000 or less and construction contracts under \$2,000.

Destroy 3 years after final payment. (GRS 3(3a(2)))

b. Copies of papers contained in Procurement Files used for administrative purposes and not covered elsewhere in this schedule.

Destroy upon termination of completion. (GRS 3(3c))

c. Obligation Copy.

Destroy when funds are obligated. (GRS 3(3b))

501-02

Contract Log Files. Logs are maintained by contract type and are used for control and reference. Entries on the log contain the following information depending on contract type: Contract, purchase order or request for purchase number, commodity or service identification, description, estimated cost, project, bid number, location, firm, method of purchase, expiration date of contract, date of document, invoice amount, date cancelled or terminated.

Destroy 6 years and months after final payment (GRS 3(3a(1)))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTION
501-03	<u>Contractor Payroll Files.</u> Contractor payrolls are maintained as part of construction contracts and are submitted in accordance with U.S. Department of Labor regulations. In addition to certified copies of the contractor's payroll, they contain Labor Department Form WH-348, Statement of Compliance; a listing of occupations showing codes and hourly rates; payroll numbers showing pay period ending date and date received.	Destroy 3 years after d of completion of contr unless contract performa is subject of enforcem action on such date. (3(11))
501-04	<u>Printing Requisition Files.</u> Consists of requisitions or GSA Form 50, Printing Requisition, issued to the Government Printing Office or to authorized Government printing facilities. Also includes a copy of the invoice, specifications, and related papers.	
	a. Procurement unit copies.	Destroy 3 years af completion or cancellat of requisition. (GRS 3(6
	b. Accounting Unit Copies	Destroy 3 years af period covered by rela account. (GRS 3(6b))
	c. Other copies.	Destroy 1 year af completion of job. (GRS (2a))
501-05	<u>Nonpersonal Services Requisition Files.</u> Consist of requisitions for nonpersonal services such as duplicating, laundry, binding, and other nonpersonal services.	Destroy when 1 year old. (GRS 3(7))
501-06	<u>Request for Quotation Files.</u> Consists of SF 18, Request for Quotations, identifying firm name and showing supplies or services, quantity, unit, unit price, and amount. May also have attached specifications or drawings. These files are used to get quotes from potential suppliers of miscellaneous items not covered by Federal Supply Schedules. A purchase order will be issued after quotes are received.	Destroy 3 years after fi payment. (GRS 3(3a(2)))

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DISPOSITION INSTRUCTION

501-07

Invitation for Bid Master Files. Consists of papers accumulated in preparing and issuing Invitations for Bid on IBWC construction projects. Includes drafts showing edits and revisions of such items as specifications, bidding schedule, notice of pre-bid conference, advance notice to bidders outlining the nature of the project and time table, questions and answers during the pre-bid conference; memorandum of approval outlining a description of the work, completion time, cost estimates, and recommendation to advertise for bids with original signatures of approval from heads of units involved including the Commissioner. The following documents are accumulated in issuing and opening bids: SF 22, Instructions to Bidders (Construction Contracts), and supplemental instructions; S-IBWC 236, Advance Notice Mailing List; requests for plans and specifications from contractors; request for mailing lists from trade publications; page of the Commerce Business Daily showing its listing of the project; narrative of the bid opening meeting with sign-in sheet identifying those in attendance; an Abstract of the Bids Received showing for each bidder the amount bid for each schedule item and total for the schedule. Originals of unsuccessful bids are comprised of items such as SF 21, Bid Form, with attached Bidding Schedule; Statement of Equipment; Statement of the Proposed Work on the Ground; SF 19-B, Representations and Certifications; Certificates of Insurance; Power of Attorney for Surety Company; SF 24, Bid Bond; and related papers.

Successful bids a proposals. Destroy w/ related contract ca files. (GRS 3(5a))

Solicited and unsolicited unsuccessful bids a proposals, relating small purchases as defined in the FAR, 48 CFR Part 1 Destroy 1 year after date of award or final payment whichever is later. (GRS 3(5b(1)))

Relating to transactions above the small purchase limitations in 48 CFR Part 13, when filed separate from contract case file Destroy when related contract is complete (GRS 3(5b(2)(a)))

Relating to transactions above the small purchase limitations in 48 CFR Part 13, when filed with contract case file Destroy with related contract case file (GRS 3(5b(2)(b)))

Cancelled solicitations files, formal solicitations of offers to provide products or services (e.g. Invitations for Bid Requests for Quotation which were cancelled prior to award of contract Destroy 5 years after date of cancellation. (GRS 3(5c(1)))

Cancelled solicitations files, unopened bid Return to bidder. (GRS 3(5c(2)))

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SECTION 2.
PROPERTY MANAGEMENT

502-01	Reserved. This item is no longer being used.	
502-02	<u>Property Inventory Files.</u> Computer printouts, Personal Property Master Listing, showing a description, the manufacturer, model, serial number, acquisition cost, purchase order number, date acquired, plant account number, location, and IBWC equipment number.	Destroy 2 years from date of list. (GRS 3(9a))
502-03	<u>Report of Survey Files.</u> Documents maintained for the purpose of review of circumstances concerning the loss, unserviceability, or destruction of government property or funds. Contains S-IBWC Form 72, Report of Survey. Reflects appointment of Board of Survey Officers; describes the number of articles, condition, cost, estimated value, and recommended disposition; certification by supply officer that the articles are shown as record on property records. Also shows a certification that Board of Survey members have inspected the property and concur in the estimated value and recommended disposition. Forms are filed by Board of Survey members. Attached to the form is form letter S-IBWC 468, Certificate of Disposal, identifying location and property items and certifying as to disposal action.	Destroy 2 years after date of survey action or date of posting medium. (GRS 3(9c))
502-04	<u>Lost, Worn-out, or Stolen Certificate Files.</u> These documents identify location, data, and description of the item. The responsible employee signs a statement that the equipment was lost or worn-out "through no negligence on my part." The approval signature of the project manager or superintendent is shown on the document. (These items are similar to report of survey documents).	Destroy 3 years after final entry. (GRS 18(15a))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
502-05	<u>Property Transfer Receipt Files.</u> Consists of S-IBWC Form 21, Property Transfer Receipt. Identifies location and date, and shows quantity, description, serial number, and person receiving the property. The sender's and receiver's signatures are shown on the form. These files are used to post changes to property inventory.	Destroy when 2 years old. (GRS 4(1))
502-06	<u>Report of Personal Property for Sale Files.</u> Consists of SF 126, Report of Personal Property for Sale, and attached GSA Form 27, Notice of Award, showing who purchased the property. They also include SF 122, Report of Transfer. a. Transactions of more than \$25,000. b. Transactions of \$25,000 or less.	Destroy 6 years after final payment. (GRS 4(3a)) Destroy 3 years after final payment. (GRS 4(3b))
502-07	<u>Report of Excess Personal Property Files.</u> Consists of SF 120, Report of Excess Personal Property, with attached SF 123, Application for Donation of Surplus Property, DHEW donation form, SF 54, and delivery order from the state surplus property agency.	Destroy when 3 years old. (GRS 4(2))
502-08	<u>Journal Voucher Files.</u> Consists of copies of SF 1017-6, showing debits and credits to accounts for acquiring property. Copies of vendor invoices are also included. These files are used in the procurement unit to charge or transfer accounts for acquired property. (Originals of these files are found in the Accounting Office.)	Destroy when 3 years old. (GRS 6(5b))
502-09	<u>Journal Voucher Control Register Files.</u> Consists of control sheets maintained to record journal voucher transactions for property accounts.	Destroy when 3 years old. (GRS 6(5b))
502-10	<u>Issue Requisition Files.</u> Consists of stockroom copies of DS Form 537 for items issued from the warehouse. Used for supply management purposes.	Destroy 2 years after completion or cancellation of requisition. (GRS 3(9a))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
<p>CHAPTER 6. PERSONNEL MANAGEMENT</p> <p>SECTION 1. GENERAL PERSONNEL PROGRAM FILES</p>		
601-01	<p><u>Official Personnel Folder Files.</u> Documents accumulated to provide an official record of personnel actions pertaining to an employee's status and service. The Federal Personnel Manual (FPM) specifies the documents required for inclusion in official personnel folders.</p> <p>a. Folders of employees transferred to another Federal agency.</p> <p>b. Folders of separated employees.</p>	<p>See FPM instructions relating to folders employees transferred another agency (GRS 1(1a)</p> <p>Transfer folder to National Personnel Reco Center (NPRC), St. Lou MO, 30 days after separation. NPRC will destroy years after separation f Federal Service. (1(1b)</p>
601-02	<p><u>Personnel Investigative Files.</u> These files consist of confidential background investigations for IBWC employees. Filed in manila envelopes showing the employee name and SSN. Maintained outside the Official Personnel Folder.</p>	<p>Destroy upon notification of death or not later than 5 years after separation transfer of employee or later than 5 years after contract relations expires, whichever applicable. (GRS 18(22)</p>
601-03	<p><u>Personnel Medical Records Files.</u> These files consist of confidential medical information for IBWC employees. Filed in manila envelopes showing employee name, SSN, and date of birth. Maintained outside the Official Personnel Folder.</p> <p>a. Transferred employees.</p>	<p>See FPM for instructions (GRS 1(21a(1)))</p>

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b. Separated employees.

Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee, 10 years after date of the earliest document in the folder if the date of birth cannot be ascertained, 30 years after latest separation, whichever is later (GRS 1(21a(2)))

C. & d. added. See Chg 1, 9/23/92

601-04	<u>Temporary Materials in Official Personnel Folder Files.</u> Material maintained as temporary records on the left side of the Official Personnel Folder in accordance with the Federal Personnel Manual.	Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. (GRS 1(10))
601-05	<u>Service Record Card Files.</u> SF 7's showing pay and personnel history for each employee. Maintained in accordance with the Federal Personnel Manual.	Destroy 3 years after separation or transfer of employee. (GRS 1(2b))
601-06	<u>Position Identification Strip Files.</u> SF 7D's used in service control file in personnel office to provide summary data on each position occupied.	Destroy when superseded or obsolete. (GRS 1(11))
601-07	<u>Notification of Personnel Action Files.</u> SF 50's, exclusive of those in Official Personnel Folders, maintained in chronological order in IBWC Personnel Office. Used to provide a record for inspections, statistics, references, and preparation of reports. This file may be referred to as the Chronological Journal File.	SF 50's, exclusive of the copy in the OPF. Chronological file copies. Destroy when 2 years old. (GRS 1(14a)) All other copies maintained in personnel offices. Destroy when 1 year old. (GRS 1(14b))
601-08	<u>Request for Personnel Action Files.</u> Consists of approved SF 52's, Requests for Personnel Action, maintained in chronological sequence. Used to initiate personnel actions.	

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
	a. IBWC Personnel Office originals.	IBWC Personnel Office Originals. Cut of completed actions at close of the calendar year. Destroy 1 year after cutoff. (NCL-76-77-1)
	b. Other Offices.	Destroy when action completed. (GRS 1(17a))
601-09	<u>Retirement Record Case Files.</u> Consists of copies of SF 2806, Individual Retirement Record, showing service history and fiscal record for the employees. Originals of these records are transmitted to the Office of Personnel Management by SF 2807 when an employee separates. The Office of Personnel Management retains Individual Retirement Records as permanent records. Duplicate copies are retained in IBWC Personnel Office for reference.	Destroy when 1 year old (GRS 2(19b))
601-10	<u>Separations and Transfers Register Files.</u> Consists of copies of SF 2807, Register of Separations and Retirements, used to transmit Individual Retirement Record Case Files to the Office of Personnel Management. Identifies the agency name, date, page number, bureau or reporting unit, location, and payroll office number. Shows employee name, current year retirement deductions, total retirement deductions to credit of employee, date of separation, and remarks. Each form contains page totals, totals brought forward from the preceding page, and accumulated totals to date. Maintained by page number in the IBWC Personnel Office. Originals of these records in the Office of Personnel Management are used to compile the annual summarization of retirement transactions. (After the annual summarization of retirement transactions has been reconciled, the Office of Personnel Management destroys the SF 2807's.)	Destroy when 3 years old (GRS 2(19a))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTION
601-11	<p><u>Position Description Files.</u> Consist of cancelled position descriptions for IBWC jobs which have been abolished or superseded. Maintained according to Federal Personnel Manual Supplement 293-31. Place cancelled descriptions in the inactive file when obsolete.</p> <p>a. Copies maintained in the IBWC Personnel Office.</p> <p>b. Other copies.</p>	<p>Destroy 2 years after position is abolished description superseded (GRS 1(7b))</p> <p>Destroy when position abolished or description superseded. (NCL-76-77-1)</p>
601-12	<p><u>Grievance and Appeal Case Files.</u> Consists of papers accumulated when an employee grieves or appeals from adverse actions under applicable OPM regulations or reduction-in-force and Hearing Examiner rating appeals and all other miscellaneous appeals relating to such matters as position classification, salary retention, restoration, reemployment, performance ratings, veteran preference, etc. Included are such items as the initial letter from an employee advising him of the outcome. (Appeals to the Office of Personnel Management become case files disposable under OPM schedules.)</p> <p>a. Precedential cases involving court action.</p> <p>b. All others.</p> <p><i>Deleted per Chg 1, 9/23/92</i> <i>See next page</i></p>	<p>Permanent. Cut off close of calendar year when action is completed. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 25 years after cutoff. (NCL-76-77-1)</p> <p>Grievance, Appeals Files (5 CFR 771). Destroy 3 years after case is closed. (G 1(30a))</p> <p>Adverse Action Files (5 CFR 752). Destroy 4 years after case is closed. (G 1(30b))</p>

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Administrative Grievance, Disciplinary
and Adverse Action Files.

- b. Administrative Grievance Files (5
CFR 771).

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Destroy 7 years after case is closed (GRS,4)

- c. Adverse Action Files (5 CFR 752)
and Performance-Based Actions (5
CFR 432).

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Destroy 4 years after case is closed (GRS,4)

[NOTE: The Office of Personnel Management has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.]

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
601-13	<u>Statements of Financial Interest Files.</u> Consists of statements of employment and financial interests by top staff and other employees involved in contracting or administering IBWC contracts. Arranged alphabetically by employee name.	Destroy when 6 years old EXCEPT that document needed in an on-going investigation will be retained until no longer needed in the investigation (GRS 1(24b))
601-14	<u>Leave Record Files.</u> Consists of documents showing leave usage by day and month for each employee. Maintained independently of pay and earnings records, these files include S-IBWC-43, Daily Leave Record; SF 1130, Time and Attendance Report; or SF 1137, Leave Record. Documents are arranged alphabetically by employee name and are cut off at the end of the leave year.	File on right side of OPF. See GRS 1, Item 1. (GRS 2(10a))
601-15	<p>a. Records showing the employee's accumulated leave on separation; SF 71, Applications for Leave, taken immediately prior to separation are attached to leave record.</p> <p>b. Records for on-board employees (applications for leave not attached to these records).</p> <p>c. <i>Added - see Chg. 1, 9/23/92</i> <u>Application for Leave Files.</u> Consist of SF 71, Application for Leave, showing employee request and supervisor approval and other supporting papers.</p>	Destroy when 3 years old. (GRS 2(9a))
	<p>a. Applications for leave taken immediately prior to separation.</p> <p>b. All others.</p>	<p>File on right side of OPF. See GRS 1, Item 1. (GRS 2(10a))</p> <p>If timecard has been initialed by employee. Destroy at end of applicable pay period. (GRS 2 (8a))</p> <p>If timecard has not been initialed by employee. Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2(8b))</p>

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
601-16	<p><u>Official Discrimination Complaint (EEO) Files.</u> Contains complaint with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Files are arranged by case number and indexed alphabetically.</p> <p>Duplicate copies of the documents will be sent to EEOC for use in an appeal. The file will be certified by this agency to be complete. After resolution of the appeal, EEOC will destroy all duplicate materials and retain only the original appeals documentation. This agency will answer FOIA requests on the original file, and EEOC will answer FOIA requests on the appeals files.</p>	<p>Destroy 4 years after resolution of the case. (GRS 1(25a))</p>
<p>SECTION 2. EMPLOYMENT FILES</p>		
602-01	<p><u>Vacancy Announcement Files.</u> Consist of record copies of Job Opportunity Announcements and amendments maintained by the IBWC Personnel Office. Also contains the Selection Roster showing ranking of candidates and qualification category, Promotion and Internal Placement Program Request for Consideration from each IBWC employee applying, SF 171 Applications from others, signed Statement of Instructions to Panel Members, correspondence regarding reasons for selection, and related papers. Arranged by Job Opportunity Announcement number and used to select candidates for vacancies.</p>	<p>Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed (GRS 1(15))</p>

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
602-02	<u>Applications for Employment Files.</u> Consists of Application for Employment, SF 171, and related papers. Maintained by job category. a. Maintained in the IBWC Personnel Office in accordance with inspection requirements of the Office of Personnel Management as stated in the Federal Personnel Manual. b. Other copies.	Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed. (GRS 1(15)) Cutoff at close of the calendar year. Destroy 1 year after cutoff. (NCL-76-77-1)
602-03	<u>Certification Files.</u> Consist of SF 39, Certification Form, sent to Office of Personnel Management to request a certificate of eligibles and the returned OPM Form 1844-A, Certificate of Eligibles, listing names of eligible individuals. Maintained by certificate number and used by appointing officers to secure names of eligible applicants for announced vacancies. The Office of Personnel Management retains for 5 years returned copies showing appointing officer actions.	Destroy when 2 years old. (GRS 1(5))
602-04	<u>Examination Announcement Files.</u> Consist of Office of Personnel Management announcements showing date, time, and place for tests. Arranged by location for the test and used for reference.	Destroy 5 years after termination of related register. (GRS 1(33e))

SECTION 3.
REDUCTION IN FORCE

603-01	<u>Reduction in Force Notice Files.</u> Copies of letters to each employee affected by a reduction in force. Maintained alphabetically by employee name. The official file copy of each letter is placed in the Official Personnel Folder.	Destroy when 2 years old. (GRS 1(17b(1)))
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ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
603-02	<u>Reduction in Force Retention Register Files.</u> Consists of retention registers for each competitive level affected by a reduction in force. Used to rank employees according to their retention rights.	Destroy when 2 years old. (GRS 1(17b(1)))
603-03	<u>Reduction in Force Work Card Files.</u> Cards covering each employee in the competitive level. Contains basic data required to compile the retention register: competitive level code number, retention subgroups, performance rating, and service computation date. a. Cards used to prepare a Reduction in Force Retention Register. b. Cards sorted and used as a Retention Register.	Destroy when superseded or obsolete. (GRS 1(17b(2))) Destroy when 2 years old. (GRS 1(17b(1)))
603-04	<u>Reduction in Force Placement Files.</u> These files consist of documents also found in the Official Personnel Folder. They accumulate as a result of attempting to locate new positions for employees displaced by a reduction in force. Includes SF 171, Application; Registration Sheet to the Office of Personnel Management; Placement Availability Form; Interview Notes; and action taken.	Destroy when 2 years old. (GRS 1(17b(1)))

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
SECTION 4. INCENTIVE AWARD FILES		
604-01	<u>Incentive Awards Case Files.</u> These case files document honor awards made to employees for meritorious service, special achievement, etc., and may be a Quality Step Increase, Outstanding Rating, or a Superior Job Performance Award. Consist of a copy of the employee's position description, nomination letter containing the justification, supervisory evaluation and concurrences; Incentive Award Committee recommendations; computation of award amount if for cash; IBWC 46, Incentive Award Nomination and Approval; copy of Certificate of Award.	<div style="text-align: right;"><i>Chg 1, 9/23/92</i></div> Destroy 13 3 years after approval or disapproval. (GRS 1(12a(1))) (GRS 4, Item 1.
604-02	<u>Suggestion Case Files.</u> These case files consist of suggestions made by employees for improvement in IBWC operations. Consist of the Suggestion, IBWC 470, showing current and suggested procedure and summary of benefits; copy of Status of Suggestion form letter; Comment Sheet Preliminary Evaluation from all involved units; computation of savings; computation of award amount; IBWC 469, Incentive Award Nomination and Approval; copy of Certificate of Award; and related papers. Maintained in the IBWC Personnel Office by suggestion number.	Destroy 2 years after approval or disapproval. (GRS 1(12a(1)))
604-03	<u>Incentive Award Log Files.</u> Consists of a log showing dates of actions in processing incentive awards. Maintained to control clearance and approval.	Destroy 23 3 years after approval or disapproval. (GRS 1(12a(1))) (GRS 4, Item

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SECTION 5.
TRAINING FILES

605-01	<u>Training Record Card Files.</u> Consists of an 8x10 1/2 card titled Employee Training Record. Identified employee name, social security number, education level, and date of birth. Card is set up in columns showing dates from/to, course, source, type, cost, and remarks. Cards are maintained alphabetically by employee name by location and are used to record planned training courses related to career fields.	Destroy when 25 35 years old.. (GRS 1(29a(2))) (GRS 4, 296)
605-02	<u>Nomination for Training Files.</u> Consist of OF 37, Nomination for Interagency Training, when the course is offered by the Office of Personnel Management. The form identifies the course title, dates, cost, location, and offering agency. Shows employee name, position title, grade, home address, and office telephone. The "agency" section of the form includes the billing address and approval signature. Supervisory comments are attached to the nominations. Approved for training purposes in the IBWC Personnel Office.	Destroy when 5 years old or 5 years after completion of a specific training program. (GRS 1(29a(1)))

SECTION 6.
MOTOR VEHICLE OPERATOR & ACCIDENT FILES

606-01	<u>Motor Vehicle Operator Case Files.</u> Consist of S-IBWC Form 421, Application for Motor Vehicle Operator's ID Card; SF 47, Physical Fitness Inquiry for Motor Vehicle Operators, and related papers; Office of Personnel Management Driver's Past Performance Test (multi-page questionnaire about driver's experience, arrests, and accidents). Files used to authorize use of Government-owned vehicles. Arranged alphabetically by employee name.	Destroy 3 years after separation of employees or 3 years after rescission of authorization to operate Government-owned vehicle, whichever is sooner. (GRS 10(7))
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ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
606-02	<u>Motor Vehicle Accident Case Files.</u> Records concerning motor vehicle accidents. Includes report of accident, copies of personal injury records, vehicle or property damage statements, copies of payment records, releases, data, correspondence and other documents relating to the accident.	Destroy 6 years after case is closed. (GRS 10(5))
606-03	<u>Injury or Accident Log Files.</u> Consists of a log showing dates of action in processing an injury or accident case.	Destroy 6 years after case is closed. (GRS 10(5))
606-04	<u>Personal Injury Files.</u> Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, excluding copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.	Cut off on termination or compensation or when deadline for filing a claim has passed. Destroy years after cutoff. (GRS 1(31))

SECTION 7.
EQUAL EMPLOYMENT OPPORTUNITY FILES

607-01	<u>EEO General Files (A-Z Files).</u> General correspondence pertaining to EEO Program official files. Includes such subject areas as General EEO Policy, Federal Women's Programs, Hispanic Employment Programs, HEP Council Documents (correspondence, minutes, etc.), Upward Mobility (on the job training, etc.).	Destroy when 3 years old or when superseded or obsolete, whichever is applicable. (GRS 1(25g))
607-02	<u>EEO Affirmative Action Plan.</u> Includes assessment, goals, statistics, work force profile by location - geographic and universal.	Destroy 5 years from date of plan. (GRS 1(25h(1)))

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CHAPTER 7.
LEGAL

700-01

Litigation Case Files. Documents relating to actual legal proceedings to which IBWC is a party or in which IBWC has an interest. Included are advisory reports, litigation reports, statements of claims, copies of processes and pleadings, supporting documents, and related correspondence. Prior to retirement to FRC, the files are segregated into the two groups shown below:

- a. Cases involving the establishment of legal precedents or the interpretation of substantive IBWC policies.

Permanent. Cut off at end of the calendar year in which litigation is completed. Transfer to FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCL-76-77-1)

- b. Other cases.

Cut off at close of the calendar year in which litigation is completed. Transfer to the FRC 10 years after cutoff. Destroy 25 years after cutoff. (NCL-76-77-1)

700-02

Special Compensation Claim Files. These records are compiled as a result of claims filed by individuals who have suffered losses from relocation or business stoppage when international boundary projects were implemented. Claims were heard by a board of examiners and approved by the Commissioner. Consist of transcript of hearings, notices, application for special compensation, copy of the applicable Public Law, copy of the "firm offer to purchase" letter, Certificate of Inspection and Possession, Reviewing Appraiser's Report, evidence of location of property

Permanent. Cut off at close of the calendar year when determination is completed. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCL-76-77-1)

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from the title company, Report of Determination signed by the board of examiners with the approval page signed by the Commissioner, and other supporting documents such as copies of income tax returns and accounting sheets. A Docket Sheet, Form CH-57, is used as a control and shows claim number, tract number, owner, action taken, special compensation, date and amount, remarks, and IBWC accounting distribution. Arranged by claim or tract number.

700-03

Claim Case Files. Documents relating to claims by or against the IBWC resulting from personal injury, property losses, and other business transactions in connection with international projects which are settled without litigation.

Permanent. Cut off at close of the calendar year when claim is settled or disallowed. Transfer to FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCL-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
CHAPTER 8. CARTOGRAPHY AERIAL SURVEYS AND PHOTOGRAPHY		
SECTION 1. CARTOGRAPHY AND AERIAL SURVEYS		
801-01	<u>Field Survey Notebook Files.</u> Handwritten recordings of survey parties involved in establishing the international boundary between the United States and Mexico. Contains original data listing sightings, measurements, angles turned, coordinates, reference points, etc. based on measurements made in the field. Used as basis for original mapping activity and monumentation.	<u>Permanent.</u> Offer to the National Archives. (NCl-76-77-1)
801-02	<u>Primary Controls and Computations Files.</u> These records may also be known as "horizontal and vertical control card files" at the IBWC. They are maintained by names of counties and establish longitude, latitude, and altitude and are essential to accuracy in field surveys, map compilation, and making maps. Controls are obtained from observations and mensurations in the field and include traverse, triangulation, leveling, and altimetry records and computations made in the field. File includes descriptions of benchmarks, triangulation stations, or monuments with detailed guide to their locations. Records cover each U.S. county along the entire U.S. boundary with Mexico. Arranged by county name.	
	a. Originals surveyed by IBWC or obtained from a non-Federal source.	<u>Permanent.</u> Retained in IBWC headquarters. (NCl-76-77-1)
	b. Copies obtained from National Geodetic Survey, U.S. Geological Survey, or other Federal agency.	Retain in IBWC Headquarters for reference. Destroy when superseded, obsolete, or no longer needed for reference. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
801-03	<p><u>Aerial Mosaic Files.</u> Consists of the prepared mosaic boards plus several photoprints and one negative of the resulting mosaic covering a specific area or project. Used in preparing plans or drawings and as explanatory exhibits for various investigative reports. Does not include boundary treaty mapping mosaics described under "IBWC Map Files" (Item Number 801-04).</p> <p>a. Record Set.</p> <p>b. Additional Working Copies.</p>	<p>Destroy when 30 years old. (N1-76-88-2)</p> <p>Destroy when superseded, obsolete, or no longer needed for reference. (N1-76-88-2)</p>
801-04	<p><u>IBWC Map Files.</u> These files contain the record copy of each IBWC printed or otherwise reproduced map including each edition and variant and documenting the cartographic activities associated with accomplishing the IBWC mission and locations of the international boundary. Maintained in the Engineering Office, in map file cabinets because of their size.</p> <p>a. Original record copies.</p> <p>b. Additional working prints.</p>	<p><u>Permanent.</u> Offer to the National Archives when out of date and no longer needed. (NCl-76-77-1)</p> <p>Destroy when superseded, obsolete, or no longer needed for reference. (NCl-76-77-1)</p>

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
801-05	<u>Project Topographic Map Files.</u> These are record copies of aerial topographic maps produced for determining storage volumes and shoreline lengths on international reservoirs and locations of potential dam sites, gaging weirs, etc. These maps are a part of the project design and planning files, but they are maintained separately in the Engineering Office.	<u>Permanent.</u> Cut off a close of the calendar year when superseded or when no longer needed for recurring studies. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCL-76-77-1)
801-06	<u>General Design Map Files.</u> These files consist of maps purchased from other Federal agencies which are used for area computations, surveys, studies, etc. and are also used as a base for design of international projects. Record copies of these maps annotated with study information document essential steps in project design and are considered a part of the project design and construction case files.	<u>Permanent.</u> Cut off a close of calendar year when construction is completed. Transfer to the FRC 1 year after cutoff. Offer to the National Archives 3 years after cutoff. (NCL-76-77-1)
801-07	<u>Aerial Survey Photo Files.</u> Contact prints made from aerial film used in stereoscopic mapping, preparing mosaics, plotting supplemental controls. Also used to study recurring channel migration problems of limitrophe rivers, tracts of land cut from U.S. or Mexican territory, construction or development along the boundary. May also be used in flood control, flood plain management, environmental statements and pollution control, impoundment and sedimentation studies, and various other investigative studies. Rolls of light negatives restored with USGS in Denver for public access and use.	<u>Permanent.</u> Cut off of completed surveys at close of calendar year. Transfer to the FRC when no longer needed for studies and recurring problems. Offer to the National Archives 3 years after transfer to the FRC. (NCL-76-77-1)
	a. Record Set.	

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
801-08	b. Working sets used to note problem areas and studies.	Destroy when no longer needed. (NCl-76-77-1)
	<u>Planetable Map Files.</u> Consist of hardcopy manuscript maps covering a prescribed area prepared in the field from local observations and measurements to shown topography, planimetry, and/or geology.	<u>Permanent.</u> Cut off when superseded or when copies as reproducible or tracings. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
	a. Hard copies.	Cut off when obsolete. Destroy 5 years after cutoff. (NCl-76-77-1)
	b. Reproducibles and Tracings.	
801-09	<u>Overlay Drawing Files.</u> Consist of mapping status overlay sheets and similar drawings prepared by other agencies in the field or in the map-making office on tracing paper or cloth or on acetate sheets laid over a base map. Shows selected information added by IBWC for annual mapping needs report and the annual Geodetic Control Report.	
	a. Completely duplicated in resultant map.	Cut off on completion or publication of resultant map. Destroy 1 year after cutoff. (NCl-76-77-1)
	b. Partially duplicated in resultant map.	<u>Permanent.</u> Cut off on completion or publication of resultant map. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 25 years after cutoff. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
801-10	<u>Boundary Treaty Mapping Mosaic Files.</u> This file includes maps and mosaics covering bancos, islands, and detached tracts. Consists of records of agreements with Mexico, surveys, review, and approvals. The file is comprised of original mylars, binders of cronopague positives, working sets of duplicate mylars and diazo prints, etc.	Permanent. Cut off each mapping survey at close of the calendar year when signed by both Commissioners and contract items exchanged by the Sections. Offer to the National Archives when IBWC use is exhausted or 30 years after cutoff, whichever is earlier. (NCl-76-77-1)
801-11	<u>Quad Sheet Proof Files.</u> Consist of proof copies of maps distributed by USGS for comments and corrections to IBWC for final approval.	Cut off on publication of resultant map or drawing. Destroy 1 year after cutoff. (NCl-76-77-1)
801-12	<u>Aeronautical Chart Files.</u> Consist of copies of aeronautical charts supplied by Interagency Air Cartographic Committee and used in mapping activities for reference, exhibits, or reports.	Destroy when superseded, obsolete, or no longer needed for reference. (NCl-76-77-1)
801-13	<u>Published Mapping Index Sheet Files.</u> Periodically updated index map sheets showing status and availability of mapping published by USGS, USAF, and Defense Mapping Agency.	Destroy when superseded, obsolete, or no longer needed for reference. (NCl-76-77-1)
801-14	<u>Defense Mapping Agency Map Files.</u> Restricted use, confidential maps showing both the United States and Mexico at a scale of 1:250,000. Used for reports, investigations, special studies, and design and construction. These copies are retained in IBWC Headquarters until used. Record copies are records of the Defense Mapping Agency.	Destroy study copies when superseded, obsolete, or no longer needed for reference. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
801-15	<u>National Topographic Map Files.</u> Consist of topographic maps published by USGS, Army Map Service, and Corps of Engineers at several different scales from 1:24,000 to 1:1,000,000. Used for many study purposes. These are expendable maps which are furnished as location reference data in correspondence and reports.	Destroy when superseded, obsolete, or no longer needed for reference or when study is completed. (NCl-76-77-1)
801-16	<u>Aerial Photograph Index Files.</u> Consist of 8x8 cards containing data on all vertical aerial photography and other products derived therefrom such negatives, positive prints, mosaics, topographic maps, enlargements, horizontal and vertical controls. Shows distribution and/or storage data for each project.	Destroy when superseded, obsolete, or no longer needed for reference. (NCl-76-77-1)
801-17	<u>Map Request Files.</u> Contain correspondence requesting copies of maps of the international boundary. Requests to the IBWC come from colleges and universities, libraries, individuals, Congressmen, Federal and State agencies. Also contain correspondence from IBWC to other Federal agencies such as USGS, Defense Mapping Agency, National Geodetic Survey, National Ocean survey, and others requesting maps, photographs, and geodetic data.	Cut off at close of calendar year. Destroy 1 year after cutoff. (NCl-76-77-1)

SECTION 2.

OBLIQUE PHOTOGRAPHY AND SLIDE FILES

Record copies of black and white still pictures include an original negative and a captioned print. For color still pictures, the record set is comprised of a 2x2 color slide, a captioned print, and an internegative if one is available. Existing finding aids such as data sheets, short lists, catalogs, indexes, lists of captions, and other textual documentation necessary for proper identification or retrieval of photographs are also considered a part of the official file.

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
802-01	<u>IBWC Commissioners Files.</u> Photographs of past and present Commissioners of both the United States and the Mexican Sections. Captions show name and dates of incumbency. Arranged alphabetically by name.	<u>Permanent.</u> Cut off at close of the calendar year when incumbency ends. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
802-02	<u>Dedication Ceremony Files.</u> Photographs taken at dedications of IBWC projects such as international reservoirs, canals, sanitation treatment plants, etc. International project dedications include participations by dignitaries from both the United States and Mexico, and Senators of both nations; Governors of states involved usually participate, as well as Department of State officials and the Commissioners of both the United States and Mexican Sections. Photographs also include events leading up to the actual dedication ceremony, such as parades, festivals, etc.	<u>Permanent.</u> Cut off at close of the calendar year in which the dedication occurred. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
802-03	<u>International Boundary Landscape Files.</u> Consist of slides and prints of the view and the scenery along the boundary between the United States and Mexico. Index is arranged by sections of the boundary -- Lower Canyon, Amistad Dam, Middle Rio Grande, etc. Captions showing slide number, dates, original number, and description of the view are shown on pages of the index, which are 5x8 pages maintained in three-ring binders. Duplicates of the original slides are used for informational presentations.	<u>Permanent.</u> Cutoff at close of the calendar year created. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
802-04	<u>Flood Files.</u> Photographs showing floods in progress on the river; protective measures taken to guard against flooding, damage resulting to structures on the river and to communities along the river, crop damage, and any other significant results from the flood. Photographs are taken both from ground level and from the air. Arranged by date of the flood, i.e., "Flood of 1967." Photographs used in Flood Report Case Files are prints of these.	<u>Permanent.</u> Cut off at close of the calendar year in which the flood occurred. Offer to the National Archives when IBWC use is exhausted or 30 years after cutoff, whichever is earlier. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
802-05	<u>Aerial Obliques Files.</u> Consists of negatives and prints of photos taken along the entire length of the international boundary. The index is arranged by section of the boundary and identified oblique page number, negative number, and description. Additional prints of these negatives are used for showing construction progress, views of dams and other structures, or problem areas.	Permanent. Cut off when individual photographs are superseded. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
802-06	<u>Project Progress Files.</u> Includes photographs taken of the project site at random intervals to show progress of the construction. Maintained in chronological sequence by project. Captions describe the photo, identify the contractor and construction engineer.	Cut off at completion of construction. Destroy 2 years after cutoff. (NCl-76-77-1)
802-07	<u>General Photograph Files.</u> Consists of prints and negatives of miscellaneous topics concerning IBWC. The files are in a straight alphabetical arrangement and are not grouped by activities. Related subjects are not together in the file since it is a straight A-Z arrangement. This general file contains all photos not described in one of the other specific files.	Cut off every 5 years at the close of the calendar year. Destroy 30 years after cutoff. (NCl-76-77-1)

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CHAPTER 9.

INTERNATIONAL BOUNDARY AND PROJECT
MANAGEMENT FILES

SECTION 1.

BOUNDARY MANAGEMENT

901-01

International Bridge Case Files.
Arranged by name of bridge.

- a. Bridge Historical Files. Consist of papers regarding planning, approval by IBWC, design, construction, and dedication; important policy matters regarding operation and use, sale, transfer, or removal; and other activities important for long term documentation of IBWC involvement.

Permanent. Cut off at close of the calendar year when structure is removed. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)

- b. Bridge Reference Files. Consists of news clippings; routine correspondence regarding bridge use, toll charges, etc; maintenance matters; and other papers maintained for reference purposes.

Cut off every 3 years at close of the calendar year. Destroy 3 years after cutoff. (NCl-76-77-1)

901-02

Islands, Cutoffs, and Detached Tract Case Files. Papers are related to determining ownership of individual islands and detached tracts. Includes correspondence between the United States and Mexico, unilateral memoranda, results of investigation and area surveys, determinations of sovereignty, transfers of ownership documents, and related items. Excludes map files described under Boundary Treaty Mapping Mosaic Files. Arranged by name.

Permanent. Cut off at close of the calendar year when boundary determination is completed. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
901-03	<u>Banco Case Files.</u> Papers are related to determining sovereignty of individual bancos. Includes correspondence between the United States and Mexico, unilateral memoranda, results of investigations and area surveys, determination of sovereignty, transfers of ownership documents, and related items. Excludes map files described under Boundary Treaty Mapping Mosaic Files (Item Number 801-10). Arranged by Banco number.	<u>Permanent.</u> Cut off at close of the calendar year when boundary determination is completed. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
901-04	<u>River Structure Case Files.</u> Consists of applications or requests for approval to construct works on lands within the flood plain and adjacent to the channels of limitrophe rivers and related records documenting IBWC approval or disapproval. IBWC authority extends over any development (work) which might cause restrictions to river flow, deflect the current, or artificially induce changes in the river channels. Included are the proposal, inspection reports, engineering determinations, drawings, maps and aerial photographs, and papers reflecting the IBWC decision. Arranged by structure name.	<u>Permanent.</u> Cut off at close of the calendar year when problem is resolved. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
901-05	<u>Diversion Structure Case Files.</u> Documents related to weirs, intake canals, dams, and other types of river diversions. Arranged by name of structure.	<u>Permanent.</u> Cut off when structure is completed. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
	a. <u>History Files.</u> Consist of papers regarding the planning and approval by IBWC, design, construction, policy statements regarding the individual structure, and other related documentation.	

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	b. <u>Reference File.</u> Consists of news clippings, transitory correspondence, maintenance matters, and other papers maintained for reference purposes.	Cut off every 3 years at close of the calendar year. Destroy 3 years after cutoff. (NCl-76-77-1)
901-06	<u>Requests for Identification Card Files.</u> Consists of transmittal letters to and from the Commissioner containing names of individuals who require an identification card for use in crossing the border to work on, inspect, etc. international boundary or projects.	Cut off at close of the calendar year. Hold 77-1) years and destroy. (NCl-76-77-1)
901-07	<u>Identification Card Control Files.</u> Consist of a copy of each identification card issued to individuals. The file is used to document the cards issued and maintained while the ID card is in force. Arranged by name.	Cut off cancelled cards at close of the calendar year. Destroy 2 years after cutoff. (NCl-76-77-1)

SECTION 2.
PROJECT PLANNING, DESIGN,
AND CONSTRUCTION

902-01	<u>IBWC Project Planning, Design, and Construction Case Files.</u> Documents relating to the study, negotiation, planning, design, and construction of treaty or convention directed international projects and undertaken jointly with Mexico. Projects include dams and reservoirs, development of hydroelectric power, river channelization or rectification, sanitation projects, flood control projects, and salinity control projects. Included are papers regarding selection and identification of projects, publicity releases, copies of enabling legislation, environmental impact statements, soil borings and testings, drawings and papers related to hydraulic designs, analyses of design, specifications, project cost estimates, engineering studies and investigative reports, copies of agreements between the U.S. and Mexico
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as to the division of work and costs, "as built" drawings and other drawings documenting significant steps in project design, documentary progress photographs, and pertinent correspondence relating to a particular project. Arranged by project name, thereunder by standard subject topics such as: Project Justification/Authorization, Legislation, Cost Estimates, Environmental Impact Statement, Preliminary Investigations, Soil Borings and Testing, Geologic and Hydrologic Logs, Publicity and Public Relations, Drawings, Engineering Reports, and Photographs.

a. Cancelled projects.

Cut off at close calendar year in which decision is made to cancel project. Retire to FRC years after cutoff or when volume warrants. Destr 30 years after cutoff. (NCl-76-77-1)

b. Approved projects resulting in construction.

Permanent. Cut off at close of calendar year in which construction completed. Retire to FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)

c. Reproduced copies of drawings or investigative reports provided for operation and maintenance purposes.

Destroy when superseded, obsolete, or no longer needed for reference. (NCl-76-77-1)

902-02

Construction Field Survey Notebook Files. Handwritten recordings used as source documents to record elevations, vertical angles, distances, etc. and are used for establishing benchmarks, cross sections of the river channel profiles, in conjunction with constructing dams, canals, levees, or other types of survey work.

Permanent. Cut off at close of the calendar year when project is completed. Offer to the National Archives when no longer needed for recurring surveys or 30 years after cutoff, whichever is earlier. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
902-03	<u>Monthly Construction Progress Statements.</u> Narrative reports from on-site engineering staff related to progress on individual projects.	Cut off at close of the calendar year when construction is completed. Destroy 5 years after cutoff. (NCl-76-77-1)
902-04	<u>Architect-Engineer Qualification Files.</u> Consist of Standard Form 251, U.S. Government Architect-Engineer Questionnaire. Contain firm name and list of the associated architects and engineers showing professional information and qualifications, types of projects completed by the firm, and other informative data which may be used to locate architects and engineers when construction activity is planned.	Destroy when superseded, obsolete, or no longer needed for reference. (NCl-76-77-1)
902-05	<u>Progressive River Section Files.</u> Consist of drawings plotted from Field Book notes of river channel cross sections showing channel changes over the years. Recordings are made at 5-year intervals. Maintained in sequence of location by station name. Drawings are numbered in kilometers from the project beginning point. Used to monitor channel size for dredging possibilities, volume computations, etc.	Cut off when project is abandoned. Transfer to the FRC 2 years after cutoff. Destroy 30 years after cutoff. (NCl-76-77-1)
902-06	<u>Engineering Design & Construction Control Card Files.</u> Consists of 5x8 cards used to show the location of official files of engineering materials. Two cards cover each document: one filed by document number and cross referenced to the topical (name of section of the boundary or project); the other filed in the topical arrangement and cross referenced to the document number. Card shows date document created, kind, size, and other pertinent data about the document. Also shows progressive record of transfer dates to other offices and recall dates.	Cut off when document referenced is destroyed. Destroy 2 years after cutoff. Retain in office space those cards for permanent documents. (NCl-76-77-1)

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SECTION 3.
PROJECT OPERATION AND MAINTENANCE

903-01

IBWC Project Operation and Maintenance Files. Records in these case files document the preservation, operation, maintenance, rehabilitation, management, safety, and care of completed international projects. Included are documents concerned with policies and procedures for individual projects; joint engineering determinations and decisions of the U.S. and Mexico relating to operational criteria and maintenance requirements; division of work and cost items; unilateral investigative and engineering reports; planning and design studies; budget studies and reviews; structure inspections; correspondence and other papers related to individual project operation and maintenance. Bulky files should be arranged according to the chapter titles in the Operation and Maintenance Manual for the project.

- a. Operation and maintenance records created during construction.
- b. Record copies retained in the Headquarters Engineering Office.
- c. Reproduced copies provided on-site offices for operation and maintenance purposes.

Cut off when construction is completed and retired with Project Design and Construction Files (Item Number 902-01). (NCL-76-77-1)

Permanent. Cut off at the close of every calendar year. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCL-76-77-1)

Destroy when superseded or obsolete. (NCL-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
903-02	<u>Project Operation and Maintenance Report Files.</u> Consist of a summary of happenings at each project for the month. Includes a narrative, schedule of work items; leakage data; flow data for the month; photos of work in progress; water damage; significant events; awards, etc.; and equipment hours of operation. The narrative part is outlined as follows: (1) the project, (2) purpose of operation and maintenance, (3) maintenance performed, (4) summary, (5) safety requirements-OSHA standards, (6) outside contacts, (7) general conditions of local economy and related developments, (8) financial statement, (9) the weather, and (10) attachments.	Cut off at the close of the calendar year. Hold years and transfer to the FRC. Destroy 10 years after cutoff. (NCl-76-77-1)
903-03	<u>Safety Inspection Report Files.</u> Documents relating to surveys made to evaluate the effectiveness of safety programs and safety standards and procedures, including survey reports, changes made as a result of the findings of the surveys and related papers. a. Office initiating the reports. b. Office receiving the reports.	Cut off at close of the calendar year. Destroy year after cutoff. (NCl-76-77-1) Cut off at the close of the calendar year. Destroy year after cutoff. (NCl-76-77-1)
903-04	<u>Daily Diary Files.</u> Consists of hardbound diaries showing accomplishments by various field office functions. Supervisor in charge of a function completes the diary. Used for accumulating information for monthly reports.	Cut off at close of the calendar year. Destroy years after cutoff. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
	CHAPTER 10. HYDROLOGY	
	SECTION 1. HYDROLOGIC INSTRUMENT RECORDING FILES	
1001-01	<u>Hydrograph Files.</u> Consists of strip charts of continuous graphs of stylus markings indicating flow at the gaging station. The date is shown on the bottom edge of the chart, and the flow is indicated on the vertical axis. Strip charts are fastened together so that they are continuous by calendar year. Notes on time and corrections are handwritten on the charts, as is the gaging station name. Earlier graphs are individual sheets with attached Forms S-IBWC-221 showing daily flow data. Pump Operation Records, Form S-IBC-15-B, may also be included for canal flow. Files are maintained by field offices and are arranged by calendar year. Folders are established for each gaging station.	<u>Permanent.</u> Cut off at close of the calendar year. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
1001-02	<u>Precipitation Chart Files.</u> These charts are maintained in field offices by station name and are chronologically arranged. Stylus markings indicate rainfall. The chart shows days of the week on the bottom and top horizontal axis and inches of rainfall on the curvo-linear vertical axis. The period covered by each chart is handwritten on that chart, as is an analysis of markings and recordings in inches of rainfall. Some precipitation charts may also be on straight line graph paper. These charts are used in conjunction with hydrographs to correlate rainfall and river flow data.	<u>Permanent.</u> Cut off at close of the calendar year. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
1001-03	<u>Hydro-Thermograph Chart Files.</u> Dual purpose charts showing stylus markings of humidity on left side and temperature on right side. The 176-hour chart shows days across the top on the horizontal axis and humidity percentage and temperature on the curvo-linear vertical axis. The computed average humidity and average temperature are handwritten on each chart. The files are maintained in field offices by station name and in chronological sequence.	<u>Permanent.</u> Cut off at close of the calendar year. Transfer to the FRC 5 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)

SECTION 2. HYDROLOGIC STUDIES

1002-01	<u>Hydraulic Design Study Files.</u> These files are used to compile hydraulic data requirements for design of IBWC projects. Consists of charts of flow, channel cross-sections, backwater and discharge computations, maps, drafts of water area for different depths, topographic maps, correspondence explaining the background and reason for the project, staff review and recommendations, approvals, and computer generated computations of hydraulic data including velocity and water surface elevation. Arranged by project name.	<u>Permanent.</u> Cut off at close of the calendar year when project construction is completed. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
1002-02	<u>Flood Report Case Files.</u> Consists of papers relating to individual floods, and maintained by the chronological name of the flood; for example, "Flood of 1954." Includes weather bulletins; river flow data from gaging stations; precipitation forecast; photographs preceding, during, and after the flood; graphs showing the volume of discharge by date; weather advisories; reports of	<u>Permanent.</u> Cut off at end of the calendar year in which the flood occurred. Offer to the National Archives when IBWC use is exhausted. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
	damages to structures, dams, dikes, etc.; reports of damage and repair observations from inspections; listing of constructive projects to help offset the impact; an assessment of adverse impact; graphs of estimates of head loss at constructions; and summary of head loss. Report of the flood (prepared by IBWC or contract firm) outlines a general description of the flood control system; summary of storm data and flood; water levels and flows; chronology of the flooding; estimated damages; previous flood flows; photographs taken during and after the flood; log of discharges; reports of flood diversion; report of water wasted to the Gulf of Mexico; reports of losses from commercial firms, railroad lines, and Chamber of Commerce offices in cities affected; and dollar value of food and clothing distributed to victims.	
1002-03	<u>Reservoir Inflow and Outflow Study Files.</u> Case files consisting of studies and analyses of flow data from streams feeding reservoirs, inflow and rainfall correlations. The studies result in bilateral policy between the United States and Mexico. Arranged by location.	Cut off at end of the calendar year when the study is completed. Transfer to the FRC 10 years after cutoff. Destroy 30 years after cutoff. (NCl-76-77-1)
1002-04	<u>Reservoir Flood Operations Study Files.</u> Case files consisting of studies and analyses of various proposed or agreed upon reservoir flood operation criteria based on past flood data, past flood data adjusted to present conditions, or theoretical floods.	<u>Permanent.</u> Cut off at end of the calendar year when the study is completed. Transfer to the FRC 10 years after cutoff. Transfer to the National Archives 30 years after cutoff. (N1-76-90-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
1002-05	<u>Flow Probability Studies.</u> Case files consisting of studies and analyses of historical, adjusted historical, estimated, or theoretical flow data. Consists of flow duration analyses, flood probability analyses, and related computations.	Cut off at end of the calendar year when the study is completed. Transfer to the FRC 1 year after cutoff. Destroy 30 years after cutoff. (N1-76-90-1)

**SECTION 3.
WATER ACCOUNTING ACTIVITY FILES**

1003-01	<u>Water Accounting Files.</u> (Includes daily operations report files.) Rio Grande water accounting is done under the authority of the 1906 Convention and the 1944 Water Treaty between the United States and Mexico. The file is maintained by calendar year and is subdivided for each section of the river. Data is shown in acre-feet for each month in the year, the United States' and Mexico's share. Data includes the following items: amount of water above the particular section of the river, number of irrigated acres in the section of the river, computed consumptive use, trail balance, average flow at the sections both in acre-feet and in cubic feet per second, river surface area, river losses, and final balance. Sections of the river including reservoirs also show inflow data, elevation at end of the period, total storage, flow at below the dam weir, outflows, evaporation, balance, stored water at the end of the period, "United States and Mexico Section Results," and average of results. Changes in Channel Storage, OWC Form 1038-4, area included for some sections of the river to show monthly change data in cubic feet per second. The purpose of this file is to determine ownership (United States and Mexico) of waters in reservoirs such as Amistad	Cut off at close of the calendar year. Transfer to the FRC 10 years after cutoff. Destroy 30 years after cutoff. (N1-76-77 1)
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ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
	and Falcon Dams, and in low water periods of the channel itself, and of water released for diversion and use downstream. Data included in this files comes from field locations. Some stations have capability to record data on digital recorders, and these tapes are then processed by computer. Some computer generated reports are included.	
1003-02	<u>Diversion Report Case Files.</u> This file shows water diverted from the Rio Grande each day at each Diversion. The data shows the number of acre-feet diverted at each location. The files is used to record water diverted to the United States for irrigation. Also includes an estimate of irrigated acres.	
	a. Field Office records.	Cut off at close of the calendar year. Transfer to the FRC 5 years after cutoff. Destroy 30 years after cutoff. (NCl-76-77-1)
	b. IBWC Headquarters copies.	Cut off at close of the calendar year. Destroy 5 years after cutoff. (NCl-76-77-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
1003-03	<p><u>Gaging Station History Files.</u> Contains a description of the Gaging Station showing location, history, records available, drainage area, description of the gage, description of the channel and control, discharge measurements (how made), dates of flood, points of zero flow and data, regulation, diversion, accuracy, and benchmarks for elevation. Cross-section graphs of the river channel for each location at different dates may also be included. The files also contains photos of diversion dams or weirs. Specifications and drawings for constructing the Gaging Station, the cable car, and the "A" Frame are included as a part of the history file. Although not a part of the history file, some discharge measurements may also be included. These are shown on Form S-IBC-22, List of Discharge Measurements. The form identified the Gaging Station and shows the data made, the hydrographer's name, gage change in feet per second, mean gage in feet, area of the section in square feet, the mean velocity in feet per second, and discharge in cubic feet per second.</p>	<p>Cut off at close of the calendar year when gaging station is removed. Destroy 20 years after cutoff. (NCl-76-77-1)</p>
1003-04	<p><u>Water Bulletin Data Transmittal Files.</u> Consists of correspondence and copies of data transmitted to IBWC Headquarters for the Water Bulletins. Data includes reservoir storage, river flow, sewage plant effluent, diversions, water quality, meteorologic data, received from the Department of the Interior (Geological Survey and Bureau of Reclamation), states, cities, and IBWC field offices, and is used to compile Water Bulletins. The Mercedes, Texas, field office, together with the Headquarters office, and the Yuma, Arizona, field office prepare data, and IBWC Headquarters prepares the printing copy of pages for the bulletins. IBWC Headquarters files contain data on all sections of the rivers.</p>	<p>Cut off at close of the calendar year when completed. Destroy 5 years after bulletin is published. (NCl-76-77-1)</p>

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
<p>CHAPTER 11.</p> <p>REAL ESTATE MANAGEMENT</p>		
1100-01	<p><u>Land Acquisition Case Files.</u> Official files documenting the ownership of land tracts for the construction of IBWC international projects such as dams and reservoirs, flood control projects, river channelization and rectification, sanitation and salinity control projects. File contains forms, legal instruments (similar to right-of-way files) and related correspondence to show tract location, description and ownership data, acquisition authority, appraisal data, title evidence, property related to a specific tract. Arranged first by geographic section of the boundary and then by number.</p>	<p>Records relating to property acquired after December 31, 1920, other than abstract or certificate of title. Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. (GRS 3(1a))</p> <p>Abstract or certificate of title. Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. (GRS 3(1b))</p>
1100-02	<p><u>Right-of-Way Case Files.</u> Documents accumulated in acquiring rights-of-way or easements for rights-of-way for purpose of constructing, maintaining, or acquiring access to the boundary or international projects. Included are on-site engineer correspondence related to the present and proposed use of right-of-way, certificates of title, maps showing locations, easement (deeds), Attorney General opinion as to evidence of title, IBWC attorney opinion as to evidence of title, deed, final title opinion, certificate as to necessary action that has been accomplished in determining valid title, correspondence and any other papers related to a specific right-of-way. Files are arranged first by county, then by right-of-way tract number assigned by project office in sequence the requests for rights-of-way are received.</p>	<p>Refer to GRS 3(1a and b) above.</p>
	<p>a. Rights-of-way acquired for continued operation of boundary project.</p>	

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
1100-03	<p>b. Rights-of-way not required for boundary and/or project operation such as easements to cross land.</p> <p><u>License Files.</u> Records created when the IBWC issues licenses to individuals and firms giving permission to use Government property. Licenses may be issued to landowners bordering projects to give access to a lake or to property; to energy firms for constructing power lines or pipelines on IBWC right-of-way (also includes specifications for this type construction); when license related to water usage, must also contain a Permit for Domestic Use of State Water showing diversion rate from the state of Texas. File consists of requests for license; acknowledgment of receipt of payment; inspection data where on-site IBWC personnel visually inspect property and fixtures or proposed fixtures; recommendation on granting license; vicinity and location maps; General Conditions of License listing restrictions, boundaries, stipulations, prohibitions; IBWC License Signature Page; transmittal letter to licensee; safety features and flood elevations; other correspondence and papers related to an individual license. These licenses are revokable by IBWC if conditions are not followed. Files are arranged according to type of license and by number thereunder: LSP/G (Land Section File/General) is a general border type license; LSP/IDL (International Dam, Laredo (Falcon)).</p>	<p>Refer to GRS 3(1a) above.</p> <p>Cut off terminated licenses at close of the calendar year. Destroy 6 years after cutoff. (NCL-76-77-1)</p>

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
1100-04	<p><u>Lease Files.</u> Record copies of the lease and correspondence related to the individual lease, its negotiation, prohibitions, or any other stipulations as to the use of leased land. Most leases are to original landowners for agricultural uses, but may be for any purpose which does not conflict with project requirements and interests of the United States. Includes legal documents, land descriptions, maps, exhibits, records of payments, and related correspondence. Maintained by lease tract number. Portions of the lease file related to the land rather than to individual lessee remain the same even though the lessee changes. These nonchanging documents include maps, land descriptions, exhibits, and other papers related to the land. Disposal instructions pertain only to the papers documenting the contract with the individual lessee, such as a copy of the lease form, payment records, and related correspondence. Land related records are not destroyed, but are carried forward as a part of the new lease.</p>	<p>Cut off when terminated. Retain documents such as maps, land descriptions and exhibits and other papers related to the land. Destroy 6 years after cutoff those papers documenting the contract with the individual lessee (NC1-76-77-1)</p>
1100-05	<p><u>Realty Office Reference Files.</u> Nonrecord materials accumulated in the IBWC Realty Office for reference purposes. Included are copies of maps, drawings showing locations of monuments, fence, easements, licenses, leases, extra copies of correspondence, etc., related to the western land boundary, El Paso Projects, and the Lower Rio Grande Flood Control Project. Information maintained in these files will be kept to the absolute minimum.</p>	<p>Review at least annually and destroy any superseded, obsolete, or any information which no longer needed for reference. (NC1-76-77-1)</p>

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
1100-06	<u>Excess Property Reference Files.</u> Nonrecord materials retained in the IBWC Realty Office for reference to tracts of land along the international boundary declared excess in connection with IBWC projects and which have been transferred to GSA.	Destroy when no longer needed for reference. (NCl-76-77-1)
1100-07	<u>Excess Property Files.</u> Official files documenting ownership of land tracts along the western land boundary determined to be excess to IBWC project needs but which were unacceptable to GSA due to inaccessibility or lack of interested buyers.	Cut off files at close of calendar year when tracts are transferred to GSA. Destroy when no longer needed for reference. (NCl-76-77-1)

NOTE: Any excess property transactions files dated prior to 1933 must be offered to NARA for possible permanent retention before applying these instructions.

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
	CHAPTER 12. TREATY AND INTERNATIONAL AGREEMENT FILES	
	SECTION 1. TREATY FILES	
1201-01	<u>Treaty and Convention Record Set Files.</u> One copy of each signed and ratified treaty or convention between the United States and Mexico outlining the jurisdiction, functions, and responsibilities of IBWC.	<u>Permanent.</u> Retain in current files area. (NCl-76-77-1)
1201-02	<u>Treaty and Convention Interpretive Case Files.</u> Legal opinions or studies concerned with interpreting various Articles, effects, or terms of treaties or conventions applicable to IBWC. Arranged by treaty.	<u>Permanent.</u> Cut off at the end of the calendar year when treaty or convention is revoked. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
1201-03	<u>Treaty and Convention Historical Files.</u> Documents accumulated in the formulation, signing, and confirmation of treaties and conventions between the United States and Mexico delineating the jurisdiction, functions, and responsibilities of IBWC. Included are background papers, drafts, documents concerned with Congressional hearings and Senate ratification, and related records. One copy of printed treaty or convention is included.	<u>Permanent.</u> Cut off at end of the calendar year when treaty or convention is ratified. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl-76-77-1)
1201-04	<u>Treaty and Convention Reference Files.</u> Requests for treaties or conventions, requests for general information concerning treaties or conventions, and other transitory type materials.	Cut off at the end of the calendar year. Destroy 5 years after cutoff. (NCl-76-77-1)

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**SECTION 2.
MINUTE FILES**

1202-01	<u>IBWC Minute Record Set Files.</u> One signed English and one signed Spanish copy of each numbered Commission Minute signed by the United States and Mexican Commissioners which includes all exhibits such as joint engineering report, maps, graphs, or other items which form a part of the Minute. A Signed original and a signed copy are sent to the State Department.	<u>Permanent.</u> Retain in current files area. (NCl 76-77-1)
1202-02	<u>IBWC Minute Historical Files.</u> Documents reflecting background data, information or investigations, drafts and related papers leading to the formulation of a Commission Minute. Each numbered Commission Minute is signed by the United States and Mexican Commissioners, approved by both governments, and records the decisions reached by the Commissioners for specific joint actions or agreements. These Minutes have the character of international agreements between the United States and Mexico. A copy of the signed Minutes with exhibits, if any, is included as well as official notifications of approval by the United States and Mexico and approved time extensions of the Minute if applicable.	<u>Permanent.</u> Cut off at the end of the calendar year when Minute has expired or action contemplated by the Minute has been completed. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (NCl 76-77-1)
1202-03	<u>Minute Reference File.</u> Requests for Minutes, requests for general information concerning Minutes, and other transitory type materials.	Cut off at the end of the calendar year. Destroy 10 years after cutoff. (NCl 76-77-1)
1202-04	<u>Memorandum of Conversation Files.</u> Consists of memorandums for the record documenting all conversations between the two Commissioners and Secretaries either by telephone or in meetings. These memorandums represent a unilateral interpretation by the U.S. Section of the communication and may contain evidence of an informal agreement between the Commissioners. Record	<u>Permanent.</u> Cut off at the close of the calendar year. Transfer to the FRC 10 years after cutoff. Offer to the National Archives 30 years after cutoff. (Nl 76-90-1)

ITEM NUMBER	DESCRIPTION OF RECORDS	DISPOSITION INSTRUCTIONS
1202-05	<p>copy file consists of signed originals; copies are also filed according to the subject discussed. A Copy is sent to the State Department.</p> <p><u>Joint Report Files.</u> Consists of various joint reports prepared by the Principal Engineers of the U.S. and Mexican Sections, IBWC. Joint reports are approved by exchange of letters between the two Commissioners and constitute Commission agreements. These reports, though separate from the Minutes, are not incorporated into the actual Minute. Reports are either annual or periodic, depending on the requirements of the applicable Minute.</p>	<p><u>Permanent.</u> Cut off at the close of the calendar year. Transfer to the FRC 1 years after cutoff. Transfer to the National Archives 30 years after cutoff. (N1-76-90-1)</p>

APPENDIX A

MASTER SUBJECT FILE OUTLINE

APPENDIX A
MASTER SUBJECT FILE OUTLINE

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<u>CODE</u>	<u>SUBJECT</u>
ADP	Automatic Data Processing.....420-A-2
BBF	Bridges and Border Facilities.....420-A-3
BFA	Budget, Finance, and Accounting.....430-A-4
DCE	Design and Construction Engineering.....420-A-6
ERA	Environmental Resources Activities.....420-A-7
HYD	Hydrology.....420-A-8
IIC	Interagency and International Coordination....420-A-10
IPR	Information and Public Relations.....420-A-11
LEG	Legal and Legislative.....420-A-12
MIB	Maintenance of International Boundary.....420-A-13
OAM	Organization and Management.....420-A-15
OSV	Office Services.....420-A-16
PAP	Paperwork Management.....420-A-17
PER	Personnel.....420-A-18
POM	Project Operation and Maintenance.....420-A-22
PPM	Procurement and Property Management.....420-A-23
REA	Real Estate Administration.....420-A-26
SWQ	Sanitation and Water Quality.....420-A-27
TRV	Travel and Transportation.....420-A-29
WAC	Water Accounting.....420-A-30

For disposition instructions refer to Item Number 102-01 and 102-02 of the Records Disposal Schedules.

AUTOMATIC DATA PROCESSING (ADP)

Use this subject outline for general correspondence and similar material pertaining to automatic data processing. Includes proposals; ADP equipment selection and utilization; systems research, development, and design.

- ADP 1 General Policy
- ADP 2 Reports and Statistics
- ADP 3 Laws and Regulations
- ADP 4 ADP Applications
- ADP 5 Automated Systems
- ADP 6 Data Processing (General)
- ADP 7 Data Processing Facilities
- ADP 8 Equipment Capabilities and Selection

BRIDGES AND BORDER FACILITIES (BBF)

Use this outline for general correspondence concerning international bridges, border stations, and other facilities located on or along the U.S.-Mexico boundary. See 901-01 for case files regarding specific bridges.

- BBF 1 General Policy
- BBF 2 Reports and Statistics
- BBF 3 Laws and Regulations
- BBF 4 Crossing Authorizations
 - BBF 4-1 Crossing Problems
- BBF 5 Inspection Facilities
- BBF 6 International Bridges
 - BBF 6-1 Construction and Maintenance
 - BBF 6-2 Ownership and Operation
- BBF 7 Traffic
 - BBF 7-1 Surveys and Statistics
- BBF 8 Border Incidents

BUDGET, FINANCE, AND ACCOUNTING (BFA)

Use this outline for general correspondence and similar material relating to the preparation and submission of budget data; budgetary policies and procedures; disbursement activities; and the maintenance, control, and accountability of funds.

- BFA 1 General Policy
- BFA 2 Reports and Statistics
- BFA 3 Laws and Regulations
- BFA 4 Accounting Codes and Symbols
- BFA 5 Accounting Systems
- BFA 6 Authorizations - Designations (of personnel to perform paying, collecting, timekeeping activities. Also designations of Accountable Officers.)
- BFA 7 Bonding of Employees
- BFA 8 Budget Execution
 - BFA 8-1 Allotments and Authorizations (Advises, revisions, adjustments.)
 - BFA 8-2 Apportionment and Allocation
 - BFA 8-3 Transfer of Funds (Appropriation transfers, adjustments, warrants, etc.)
- BFA 9 Budget Preparation and Submission
 - BFA 9-1 Budget Estimates
 - BFA 9-2 Preliminary Forecasts
- BFA 10 Collections - Receipts
 - BFA 10-1 Accounts Receivable
 - BFA 10-2 Adjustments
 - BFA 10-3 Billing
 - BFA 10-4 Checks, Money Orders, Currency (Except payroll and travel -- see below)
 - BFA 10-5 Summaries and Schedules

- BFA 11 Disbursement (Except payroll and travel -- see below)
 - BFA 11-1 Accounts Payable
 - BFA 11-2 Adjustments
 - BFA 11-3 Imprest Fund
 - BFA 11-4 Letters of Credit
 - BFA 11-5 Voucher Examination and Certification
- BFA 12 Financial Plans (Use for overall plans for the expenditure of appropriated and other funds.)
- BFA 13 Fund Availability
- BFA 14 Obligation (Fund) Control and Flow
- BFA 15 Payrolls - Salaries
 - BFA 15-1 Deductions
 - BFA 15-2 Paychecks
 - BFA 15-3 Salary Changes
- BFA 16 Travel Accounting
 - BFA 16-1 Advances
 - BFA 16-2 Per Diem
 - BFA 16-3 Transportation

DESIGN AND CONSTRUCTION ENGINEERING (DCE)

Use this subject outline for general correspondence on IBWC design and construction engineering activities. Papers related to an individual project will be filed in the appropriate case file (902-01) and, therefore, are not classified under this subject outline.

- DCE 1 General Policy
- DCE 2 Reports and Statistics
- DCE 3 Laws and Regulations
- DCE 4 Architect-Engineer Consultant Contracting Policy
- DCE 5 Construction
 - DCE 5-1 Construction Criteria
 - DCE 5-2 Construction Equipment, Material and Supplies
- DCE 6 Design (Preparation of preliminary and final drawings, specifications, cost estimates; general, special, and technical provisions for use in issuing IBM's for constructions; and securing, analyzing, and evaluating bids or proposals for construction.)
 - DCE 6-1 Design Criteria
 - DCE 6-2 Site surveys and Preliminary Estimates
- DCE 7 Planning
 - DCE 7-1 Master Planning
 - DCE 7-2 Program and Projects

ENVIRONMENTAL RESOURCES ACTIVITIES (ERA)

Use this subject outline for correspondence related to the environmental impact of IBWC activities. Refer to Sanitation and Water Quality (SWQ) for correspondence related to water quality and water pollution.

- ERA 1 General Policy
- ERA 2 Reports and Statistics
- ERA 3 Laws and Regulations
- ERA 4 Environmental Protection (General Correspondence only.
 See 902-01 for EIS regarding specific IBWC projects.)
 - ERA 4-1 Archeological and Historical Elements
 - ERA 4-2 Floral and Faunal Elements
 - ERA 4-3 Social and Economic Elements
- ERA 5 Environmental Special Studies
- ERA 6 Pollution Assessments
 - ERA 6-1 Air Pollution
 - ERA 6-2 Solid Waste Pollution
 - ERA 6-3 Water Pollution
- ERA 7 Public Hearings
- ERA 8 Recreation
 - ERA 8-1 Boat/Float Trips
 - ERA 8-2 International Parks
 - ERA 8-3 National Parks
 - ERA 8-4 State and Local Parks
 - ERA 8-5 Wild and Scenic Rivers

HYDROLOGY (HYD)

Use this subject outline for general correspondence about water conservation; flood activities and studies; irrigation, and groundwater studies; hydraulic design for dams and reservoirs; and hydroelectric power. Hydrology related activities of Water Accounting (WAC) and Sanitation and Water Quality (SWQ) have been elevated to primaries in the subject outline. Refer to WAC and SWQ, as appropriate, for classifying papers on these related activities.

- HYD 1 General Policy
- HYD 2 Reports and Statistics
- HYD 3 Laws and Regulations
- HYD 4 Conservation
- HYD 5 Flood Control
- HYD 6 Flood Insurance
- HYD 7 Flood Operations
 - HYD 7-1 Flood Warnings (Includes press releases, public notices and statements concerning flooding or potential flooding.)
 - HYD 7-2 Pre-Season Exercises
 - HYD 7-3 Weather Reports
- HYD 8 Flood Plain Management
- HYD 9 Flood Reporting (General correspondence regarding reporting methods, procedures, format and distribution. See 1002-02 for individual Flood Report case files.)
- HYD 10 Flood Studies
 - HYD 10-1 Flood Frequency and Probability
 - HYD 10-2 Flood Routing
- HYD 11 Geothermal Resources

- HYD 12 Groundwater (Subdivide by geographic area if volume warrants.)
 - HYD 12-1 Measurements and Analyses
 - HYD 12-2 Investigations and Special Studies
- HYD 13 Hurricanes and Storms
- HYD 14 Hydraulic Design and Investigations
- HYD 15 Hydroelectric Power
 - HYD 15-1 Power Generation
 - HYD 15-2 Purchase of Power
- HYD 16 Hydrologic Communications
 - HYD 16-1 Radio
 - HYD 16-2 Telemetering Network
- HYD 17 Irrigation and Drainage
- HYD 18 Reservoir Operations
 - HYD 18-1 Bank Sloughing
 - HYD 18-2 Constant Level for Fish Spawning
 - HYD 18-3 Water Release Criteria
- HYD 19 Water Resources Planning and Management.

INTERAGENCY AND INTERNATIONAL COORDINATION (IIC)

Use this outline for general material regarding cooperation and coordination of IBWC with other agencies, state and local governments, international and border planning groups or commissions. Do not use for material which can be filed under a more specific subject.

- IIC 1 General Policy
- IIC 2 Reports and Statistics
- IIC 3 Laws and Regulations
- IIC 4 City and County Agencies
- IIC 5 Federal Agencies (Includes definitions of areas of responsibility and authority, operating relationships, program coordination, etc. Subdivide by agency or interagency committee if volume warrants.)
 - IIC 5-1 Bureau of Reclamation
 - IIC 5-2 Corps of Engineers
 - IIC 5-3 State Department
 - IIC 5-4 U.S.G.S.
- IIC 6 International Commissions or Committees
 - IIC 6-1 International Joint Commission
 - IIC 6-2 U.S./Mexico Border Associations
 - IIC 6-3 Interparliamentary Meetings
 - IIC 6-4 Mexican Government Organizations
- IIC 7 State Agencies
- IIC 8 Water Agencies and Authorities

INFORMATION AND PUBLIC RELATIONS (IPR)

Use this subject outline for material regarding informational services; public access to record; dissemination of technical information through publications and presentations; relating with the general public, press, private organizations, and other Government Agencies.

- IPR 1 General Policy
- IPR 2 Reports and Statistics
- IPR 3 Laws and Regulations
- IPR 4 Dedications
- IPR 5 Exhibits, Fairs, Expositions
- IPR 6 Information Services (Use for requests for general information from other government agencies, private industry, and the general public. Materials related to inquiries which involve special investigations or policy decisions should be filed in the related subject or case file.)
 - IPR 6-1 Freedom of Information Act Requests (Use for requirements involving inquiries specifically identified as FOIA requests. See 405-01 for material regarding specific requests.)
 - IPR 6-2 Privacy Act Requests (Use for requirements for disclosure of information about individuals. See 405-2 for specific requests.)
- IPR 7 Invitations, Engagements
- IPR 8 Library Services
- IPR 9 Presentations, Speeches
- IPR 10 Public Opinion (Commendations, Congratulations, Appreciation, or Criticism.)
- IPR 11 Publicity and Promotion
 - IPR 11-1 IBWC Employees and Activities
 - IPR 11-2 Newspaper and Magazine Articles
 - IPR 11-3 Press Relations and Releases
- IPR 12 Visitors, Representatives, and Guests (See OAM 10 for official visits by IBWC officials.)

LEGAL AND LEGISLATIVE (LEG)

Use this outline for papers pertaining to the IBWC legislative program, relations with Congress, and legal matters which are so general in nature that they cannot be filed under more specific subjects.

- LEG 1 General Policy
- LEG 2 Reports and Statistics
- LEG 3 Laws and Regulations (Use only for general material regarding Federal, State, and local laws and regulations which cannot be filed under a specific subject.)
- LEG 4 Claims, Litigation, Appeals (Use only for general material on claims by or against U.S. Government, claims procedures, etc. File material regarding specific claims in the appropriate case or project file.)
- LEG 5 Congressional Activities and Relations (Use for routine correspondence with Senators, Representatives and other Federal, State, and local legislative officials and committees which cannot be filed by subject under other outlines.)
- LEG 6 Legal Library
- LEG 7 Legislative Program (Use only for agency's overall legislative program, including bills introduced on behalf of and those affecting agency programs.)
- LEG 8 Opinions, Decisions, Interpretations (Use only for general material which cannot be filed by subject under other outlines.)

MAINTENANCE OF INTERNATIONAL BOUNDARY (MIB)

Use this subject outline for general correspondence related to determining and maintaining the international boundary including the following activities: Surveying and mapping; stabilizing or relocating the river boundary; marking or monumenting the land boundary. Also covered are potential or completed transfers of land from one country to the other resulting from river channel changes.

- MIB 1 General Policy
- MIB 2 Reports and Statistics
- MIB 3 Laws and Regulations
- MIB 4 Aerial Photography
 - MIB 4-1 Mosaics
 - MIB 4-2 Horizontal and Vertical Controls
- MIB 5 Boundary Mapping
- MIB 6 Land Boundary
 - MIB 6-1 Encroachments
 - MIB 6-2 Federal Zone
 - MIB 6-3 Fence
 - MIB 6-4 Movement (Earthquakes)
- MIB 7 Maps
 - MIB 7-1 Map Accuracy
 - MIB 7-2 Map Corrections
 - MIB 7-3 Cartographic Procedures
 - MIB 7-4 Photogrammetric Procedures
 - MIB 7-5 Distribution and Storage
- MIB 8 Mapping Agreements

- MIB 9 Maritime Boundary (Includes monumentation of the maritime boundary.)
 - MIB 9-1 Gulf of Mexico
 - MIB 9-2 Pacific Ocean
- MIB 10 Markers
- MIB 11 Monuments
 - MIB 11-1 Damages
 - MIB 11-2 Maintenance (Includes inspections.)
- MIB 12 Photography
- MIB 13 River Boundary
 - MIB 13-1 Bank Erosion and Stabilization
 - MIB 13-2 Channel Changes and Restoration (Also includes general correspondence on cutoffs, detached tracts, bancos or islands in the river channel. See 901-02 for cutoffs and detached tracts case files. See 901-03 for banco case files.)
 - MIB 13-3 Obstructions (Includes floodplain management for the Rio Grande and Colorado River. See HYD 8 for floodplain management general information.)
 - MIB 13-4 River Cross Sections
 - MIB 13-5 River Mileages
- MIB 14 Surveys and Surveying
 - MIB 14-1 Aerial Surveying
 - MIB 14-2 Overflight Authority
- MIB 15 Topographic Surveys and Surveying
 - MIB 15-1 Bench Marks
 - MIB 15-2 Ground Controls
 - MIB 15-3 Reference Point Markers

ORGANIZATION AND MANAGEMENT (OAM)

Use this subject outline for general correspondence on the establishment, organization, reorganization, and termination of IBWC organizational units; the assignment and reassignment of functions; management analysis and surveys; manpower requirements and utilization; and emergency planning.

- OAM 1 General Policy
- OAM 2 Reports and Statistics
- OAM 3 Administrative Audits, Inspections, and Reviews
(Includes administrative and operational surveys of a general nature.)
- OAM 4 Delegations of Authority (Includes designations.)
- OAM 5 Emergency Planning (Use for material relating to continuation of operations in the event of an emergency.)
- OAM 6 Management Analysis and Improvement (Use for general material concerning studies, surveys, systems, work simplification; and similar management improvement and cost reduction activities other than inspections.)
- OAM 7 Management Meetings (General papers regarding staff or other management meetings that cannot be filed under a more precise subject.)
- OAM 8 Manpower Control and Utilization
- OAM 9 Organization - Reorganization (Includes reorganization plans, mission and function statements, organization charts, history and background of the agency or office, determination and jurisdiction of IBWC offices.)
- OAM 10 Visits (Includes general material regarding trips by IBWC officials for briefing or administrative purposes.)

OFFICE SERVICES (OSV)

Use this outline for material regarding office service functions of communications, printing and reproduction, and buildings and grounds.

- OSV 1 General Policy
- OSV 2 Reports and Statistics
- OSV 3 Laws and Regulations
- OSV 4 Buildings and Grounds (Use for general material regarding buildings and grounds for housing IBWC employees.)
 - OSV 4-1 Acquisitions
 - OSV 4-2 Protection and Security
 - OSV 4-3 Space Assignment and Utilization
 - OSV 4-4 Utilities, Maintenance, Improvements
(Includes cleaning, heating and air conditioning, lighting and power, moving, alterations, and painting.)
- OSV 5 Printing and Reproduction
 - OSV 5-1 Duplicating Services
 - OSV 5-2 Graphic Services (Includes artwork, design, drafting.)
 - OSV 5-3 Printing and Binding
- OSV 6 Telegraph, Teletype, Facsimile Services
- OSV 7 Telephone Facilities
 - OSV 7-1 Federal Telecommunications System (FTS)
 - OSV 7-2 Toll Calls - Long Distance

PAPERWORK MANAGEMENT (PAP)

Use this subject outline for general material relating to paperwork and records management functions as identified in the FPMR's (41 CFR Part 101-11).

- PAP 1 General Policy
- PAP 2 Reports and Statistics
- PAP 3 Laws and Regulations
- PAP 4 Correspondence Management (Includes correspondence procedures and instructions, letter writing)
- PAP 5 Directives (Issuance) Management (Use for material regarding systems for issuing policy and procedural information and guidance to agency personnel. Do not use for copies of published issuances.)
- PAP 6 Document and Information (Use for systems and procedures for safeguarding and control of information and documents. See IPR 6-1 and IPR 6-2 for requirements relating to FOIA and Privacy Act requests.)
- PAP 7 Forms Management (Use for material regarding forms development, clearance and control.)
- PAP 8 Mail Management (Includes copies of forms related to payment of postage fees.)
- PAP 9 Microfilming
- PAP 10 Records Disposition (Use for general correspondence. See Item 202-07 for Records Disposition Case files.)
- PAP 11 Records Maintenance (Use for general materials. See Item 202-06 for Files Maintenance and Disposition Plans.)
- PAP 12 Vital Records (Includes correspondence, procedures, and instructions pertaining to records which are essential to IBWC operations in an emergency situation. See OAM 5 for Emergency Planning.)

PERSONNEL (PER)

Use this subject outline for general correspondence concerning all phases of personnel administration including employment, employee relations, training and career development, security, etc.

- PER 1 General Policy
- PER 2 Reports and Statistics
- PER 3 Laws - Regulations
- PER 4 Attendance and Leave
 - PER 4-1 Annual Leave
 - PER 4-2 Hours of Duty
 - PER 4-3 Leave Without Pay
 - PER 4-4 Sick Leave
- PER 5 Awards and Commendations
 - PER 5-1 Awards Committee
 - PER 5-2 Commendations
 - PER 5-3 Honor Awards
 - PER 5-4 Suggestions
- PER 6 Conduct and Discipline
 - PER 6-1 Conflicts of Interest
 - PER 6-2 Disciplinary Actions
 - PER 6-3 Gratuities and Favors
 - PER 6-4 Political Activity
- PER 7 Employee Relations and Services
 - PER 7-1 Appeals and Grievances (Use for general material on appeals system, policies and procedures for handling appeals, complaints, and grievances.)

- PER 7-2 Campaigns and Drives (Includes general material on such activities as Combined Federal Campaigns, Savings Bond drives, blood donations.)
- PER 7-3 Credit Union
- PER 7-4 Employee Organizations (Includes employee associations, social, welfare, and recreational activities.)
- PER 8 Employment
 - PER 8-1 Equal Employment Opportunity (Includes informal EEO communications which are potential grievances, and are resolved without a formal complaint being filed.)
 - PER 8-2 Former Employees
 - PER 8-3 Job Retention and Restoration
 - PER 8-4 Special Categories (Includes students, handicapped, veterans, experts, and consultants.)
- PER 9 Health and Medical Care
 - PER 9-1 Injuries and Claims
 - PER 9-2 Medical and First Aid Services
- PER 10 Insurance and Annuities
 - PER 10-1 Group Life
 - PER 10-2 Health Benefits
 - PER 10-3 Retirement
 - PER 10-4 Unemployment Compensation
- PER 11 Labor-Management Relations
 - PER 11-1 Exclusive Recognition
 - PER 11-2 Negotiation of Agreements

- PER 12 Pay Administration
 - PER 12-1 Deduction
 - PER 12-2 Name and Record Changes
 - PER 12-3 Pay Increases
- PER 13 Performance Evaluation
 - PER 13-1 Documentation and Processing
 - PER 13-2 Rating Panels and Boards
 - PER 13-3 Ratings and Appraisals
 - PER 13-4 Standards for Production
- PER 14 Personnel Program Management
 - PER 14-1 Inspections
 - PER 14-2 Surveys
- PER 15 Personnel Security and Suitability
- PER 16 Position Classification
 - PER 16-1 Appeals
 - PER 16-2 Job Descriptions
 - PER 16-3 Series and Standards
 - PER 16-4 Surveys and Evaluations
- PER 17 Position Management
 - PER 17-1 Personnel Ceilings
 - PER 17-2 Staffing Patterns
- PER 18 Promotion and Internal Placement
 - PER 18-1 Assignment and Details
 - PER 18-2 Promotion and Demotion

- PER 19 Recruitment, Selection, and Appointment
 - PER 19-1 Advertising and Publicity
 - PER 19-2 Application for Employment
 - PER 19-3 Appointment (Subdivide by type of appointment if volume warrants - competitive service, excepted service, etc.)
 - PER 19-4 Certification of Eligibles
 - PER 19-5 Examination and Testing
 - PER 19-6 Qualifications
 - PER 19-7 Recruitments
- PER 20 Safety Program (Employee)
 - PER 20-1 Accident Prevention
 - PER 20-2 Awards
 - PER 20-3 Inspections and Surveys
- PER 21 Separation and Displacements
 - PER 21-1 Death
 - PER 21-2 Reduction-in-Force
 - PER 21-3 Resignation
 - PER 21-4 Retirement
 - PER 21-5 Separation for Cause
 - PER 21-6 Transfer Out
- PER 22 Training and Career Development
 - PER 22-1 Career Planning and Counseling
 - PER 22-2 Orientation
 - PER 22-3 Technical Manuals and Seminars
 - PER 22-4 Training Courses and Seminars
 - PER 22-5 Training Facilities and Equipment

PROJECT OPERATION AND MAINTENANCE (POM)

Use this subject outline for general correspondence in operation and maintenance of IBWC projects including policy and procedures concerning the installation and maintenance of facilities and equipment. Papers related to an individual project will be filed in the appropriate case file (903-01).

- POM 1 General Policy
- POM 2 Reports and Statistics
- POM 3 Laws and Regulations
- POM 4 Emergency Maintenance
- POM 5 Equipment
 - POM 5-1 Electrical
 - POM 5-2 Instruments
 - POM 5-3 Mechanical
- POM 6 Maintenance Requirements and Procedures
- POM 7 Operational Criteria
- POM 8 Safety
- POM 9 Structure Inspection and Evaluation

PROCUREMENT AND PROPERTY MANAGEMENT (PPM)

Use this outline for general correspondence regarding procurement, management, accountability, and disposition of equipment and supplies, and services.

DO NOT use this outline for papers about a specific contract or procurement transaction. Material of this nature should be filed in the appropriate case file.

- PPM 1 General Policy
- PPM 2 Reports and Statistics
- PPM 3 Laws - Regulations
- PPM 4 Authorizations - Appointments (Includes Contracting Officer.)
- PPM 5 Contract Administration
 - PPM 5-1 Changes or Modifications
 - PPM 5-2 Close-Out/Termination
 - PPM 5-3 Cost/Billing Rates
 - PPM 5-4 Monitoring
- PPM 6 Contracts and Agreements (If volume warrants, subdivide by type such as fixed price, cost reimbursement, rental, lease (not real property), interagency agreement.)
 - PPM 6-1 Clauses
 - PPM 6-2 Formats and Forms
- PPM 7 Maintenance
 - PPM 7-1 Painting
 - PPM 7-2 Repair
- PPM 8 Procurement
 - PPM 8-1 Catalogs, Price Lists, Schedules
 - PPM 8-2 Discounts

PPM 8-3 Open Market
PPM 8-4 Petty Cash (Imprest Fund)
PPM 8-5 Rental
PPM 9 Procurement Methods
PPM 9-1 Formal Advertising
PPM 9-2 Negotiation
PPM 9-3 Small Purchases
PPM 10 Property Accountability
PPM 10-1 Identification
PPM 10-2 Inventory
PPM 10-3 Stock Control
PPM 10-4 Survey, Boards of
PPM 10-5 Thefts and Losses
PPM 11 Purchase Orders and Requisitions
PPM 12 Solicitations, Bids, and Awards
PPM 12-1 Award
PPM 12-2 Evaluation of Bids/Proposals
PPM 12-3 Invitation for Bids/Request for Proposals
PPM 12-4 Negotiation
PPM 13 Storage
PPM 14 Suppliers and Contractors
PPM 14-1 Bidder Mailing List
PPM 14-2 Ineligible Bidders
PPM 14-3 Minority Business
PPM 14-4 Small Business

PPM 15 Surplus and Excess Property

PPM 15-1 Acquisition

PPM 15-2 Disposals

PPM 15-3 Transfers

PPM 15-4 Utilization

REAL ESTATE ADMINISTRATION (REA)

Use this subject outline for general correspondence about IBWC's interest in land and structures permanently attached to the land (real property). Refer to Procurement and Property Management (PPM) for classifying correspondence related to personal property.

- REA 1 General Policy
- REA 2 Reports and Statistics
- REA 3 Laws and Regulations
- REA 4 Acquisition
 - REA 4-1 Condemnation
 - REA 4-2 Purchases
- REA 5 Appraisal
- REA 6 Disposition of Land (Includes general material on excess real property disposition.)
- REA 7 Land Titles
- REA 8 Land Use (Use for general material regarding land use. See Item 903-01, Project O&M case files for public land use on IBWC projects.)
- REA 9 Leases, Licenses, and Permits (Use for general material not related to a specific lease, license, or permit.)

SANITATION AND WATER QUALITY (SWQ)

Use this subject outline for general correspondence related to monitoring and control of Boundary sanitation problems and water quality of the international rivers and reservoirs.

- SWQ 1 General Policy
- SWQ 2 Reports and Statistics
- SWQ 3 Laws and Regulations
- SWQ 4 Calculation and Determination Methods
 - SWQ 4-1 Sampling Techniques
- SWQ 5 Chemical Waste Problems (Papers regarding oil and hydrocarbon spills, pesticides, industrial wastes, etc. Subdivide by river or reach of river if volume warrants.)
 - SWQ 5-1 Analysis and Recording
 - SWQ 5-2 Treatment and Control
- SWQ 6 Desalting Plants
 - SWQ 6-1 Mexico
 - SWQ 6-2 United States
 - SWQ 6-3 Desalting Techniques
- SWQ 7 Monitoring and Supervision
- SWQ 8 Research and Development
- SWQ 9 Salinity Problems (Subdivide by river or reach of river if volume warrants.)
 - SWQ 9-1 Analysis and Recording
 - SWQ 9-2 Salinity Control
- SWQ 10 Sediment Problems (Papers regarding measurement, causes, and control of sediment. Subdivide by river or reach of river if volume warrants.)

SWQ 11 Sewage Problems

SWQ 11-1 Bacteriological Analyses (Includes human and animal waste sewage. Subdivide by river or reach of river if volume warrants.)

SWQ 11-2 Sewage Treatment and Control (Subdivide by type of treatment if volume warrants, i.e., aeration, chlorination, etc.)

SWQ 11-3 Special Studies

TRAVEL AND TRANSPORTATION (TRV)

Use this subject outline for general correspondence on policies and procedures regarding the travel of individuals and movement of household goods; the shipment of equipment, supplies, and materials; and the acquisition, maintenance, use, and disposition of motor vehicles.

- TRV 1 General Policy
- TRV 2 Reports and Statistics
- TRV 3 Laws - Regulations
- TRV 4 Freight and Express Shipments
 - TRV 4-1 Bills of Lading (Use for procedures regarding preparation and submission.)
 - TRV 4-2 Carriers (Includes general information on rates, fares, tariffs, routes, and schedules.)
 - TRV 4-3 Claims (Loss and damage etc.)
- TRV 5 Government Vehicles
 - TRV 5-1 Accidents
 - TRV 5-2 Assignments and Use
 - TRV 5-3 Credit Cards
 - TRV 5-4 IBWC - Motor Pool Agreement
 - TRV 5-5 Motor Vehicle Reporting
 - TRV 5-6 Operator Permits (Includes tests and licenses.)
- TRV 6 Itineraries and Reservations
- TRV 7 Local Transportation (Includes use of taxis, tokens, etc.)
- TRV 8 Permanent Change of Station (Includes transportation of personal and household effects.)
- TRV 9 Travel Allowances (Includes per diem and mileage rates, travel advances, etc.)

WATER ACCOUNTING (WAC)

Use this subject outline for general correspondence about water accounting, including gaging station operations, storage and losses, determining the national ownership of water, tributary contributions, and policy and procedures in acquiring data and publishing water bulletins.

- WAC 1 General Policy
- WAC 2 Reports and Statistics
- WAC 3 Laws and Regulations
- WAC 4 Gaging Stations (Includes correspondence about gaging stations in general. Pertinent correspondence about an individual gaging station is filed in the Gaging Station History File (1003-03).)
- WAC 5 Gains and Losses
 - WAC 5-1 Consumption
 - WAC 5-2 Diversions
 - WAC 5-3 Evaporation
 - WAC 5-4 Illegal Diversions
 - WAC 5-5 Reservoir Seepage
 - WAC 5-6 Return Flows
- WAC 6 National Ownership of Waters
 - WAC 6-1 Differences
 - WAC 6-2 Exchanges of Water (Includes loans and transfers.)
 - WAC 6-3 Five-Year Cycle
 - WAC 6-4 Tributary Contributions
- WAC 7 Storage
 - WAC 7-1 Bank
 - WAC 7-2 Channel
 - WAC 7-3 Reservoir

- WAC 8 Water Bulletin (General correspondence only regarding
format, printing, distribution, etc.)
- WAC 9 Water Rights
 - WAC 9-1 Litigation
 - WAC 9-2 IBWC Permits and Authorizations (Includes
correspondence relating to securing IBWC
Permits and authorizations.)
- WAC 10 Water Supply Forecast
- WAC 11 Water Deliveries to Mexico
- WAC 12 Investigations and International Streams
- WAC 13 Cross-Sections

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